

# TÜV NORD CERT – React to the present with ISO 37001

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The Corruption Perception Index, which is published annually by the organisation Transparency International (TI) shows that bribery and corruption in politics, the public sector and business are increasing. It is true that Germany comes out well in the worldwide comparison, but leaders from the worlds of industry and commerce complain that opportunities for corruption are growing.

With certification according to ISO 37001, organisations can demonstrate that they are taking a stand against corruption and that this plays a central role in their compliance strategy. Introduction of an anti-corruption management system (ACMS) according to ISO 37001 helps to counteract corruption from the very beginning and to take active steps against it.

## Target group

Certification according to ISO 37001 is suitable for all organisations, regardless of their size, sector or form.

## Benefits

This international standard establishes the requirements which are set for the establishment, maintenance and improvement of an anti-bribery management system. This is a means used by organisations in order to implement measures to prevent, recognise and tackle bribery based on anti-corruption measures that are valid throughout the world and comply with legal requirements. Bribery by the organisation itself, its staff and business partners is covered, as is corruption of the organisation.

With the certificate, organisations have visible proof that they take the subject of corruption seriously and are working actively to counteract it. This strengthens the trust and confidence of customers, business partners and other stakeholders and leads to vital competitive advantages – for example in tender processes. At the same



time, with the help of ISO 37001, the risks are reduced with regard to bribery and a culture of integrity, transparency and openness is fostered.

As ISO 37001 follows the High Level Structure, it can easily be integrated into an existing management system, for example according to ISO 9001 or ISO 14001.

## ISO 37001:2016 at a glance

### The ten sections of ISO 37001:2016

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| 1  | Scope                       |
| 2  | Normative references        |
| 3  | Terms and definitions       |
| 4  | Context of the organisation |
| 5  | Leadership                  |
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| 8  | Operation                   |
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| 10 | Improvement                 |

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# Fact Sheet

## Requirements of ISO 37001

For certification according to ISO 37001, a variety of requirements have to be fulfilled and implemented in the form of an anti-bribery management system. Some of these requirements are described in the following paragraphs:

### Context of the organisation

The organisation shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the objectives of its anti-bribery management system. These issues will include, for example, the size and structure of the organisation and also business partners and statutory obligations. The scope of the management system should be established taking these issues into consideration. It must include measures relating to the identification and evaluation of the risk of corruption, and there must be focus on risk analysis and assessment.

### Leadership and commitment

The overall responsibility for compliant implementation, maintenance and improvement of the anti-bribery management system lies with the top management, who have to install and maintain an anti-bribery policy. At the same time, the responsibilities and authorities for the relevant roles have to be determined.

### Planning

The organisation must plan measures to address risks and opportunities and must integrate these into the management system processes. When planning how to achieve anti-bribery objectives, the following questions are relevant:

- What will be done?
- What resources will be required?
- Who will be responsible?
- When will the objectives be achieved?
- How will the results be evaluated and reported?
- Who will impose sanctions or penalties?

It should also be ensured that the anti-bribery objectives are achieved in practice.

### Support

The organisation shall provide the necessary personnel, financial and other resources for the implementation, maintenance and improvement of the management system. In order to encourage greater awareness of the issues surrounding prevention of bribery, the personnel must be appropriately trained at regular intervals. Information that is necessary for the effectiveness of the management system must be documented and continually updated.

### Operation

This section of the standard discusses the design of concrete processes for combatting corruption to be planned, controlled and maintained by the organisation. Above all, a due diligence process is required which includes careful consideration of transactions, projects, business partners and personnel. Financial and other types of controls must also be established for investigation of business partners. A further important component of this section is that employees should be encouraged to report suspected or actual bribery or corruption without having to fear retaliation or other negative consequences.

### Evaluation and performance

The performance of the management system should basically be measurable. In this regard, the organisation shall among other things determine exactly what has to be monitored and measured, what methods are to be used for measurement, analysis and evaluation and to whom the results should be reported. Internal audits must also be carried out at planned intervals which relate to the requirements and effectiveness of the management system. The management is also required to regularly review the effectiveness of the system.

### Improvement

Organisations which establish a management system at the same time enter into a process of continual improvement. For this reason, a systematic process is required which should prevent infringements and correct non-conformities. Therefore this section is concerned with the handling of any nonconformities and the corrective actions associated with them.

# Fact Sheet

## The certification process

If you have decided in favour of certification by TÜV NORD, and if your organisation is capable of certification, we make an appointment with you for a certification audit. The purpose of this audit is to establish if you implement the anti-bribery management system in practice and if the implementation fulfils the requirements of ISO 37001. The duration of the audit depends on the size of the organisation, the number of customers and the complexity of the processes. Following a successful certification audit, you will receive the corresponding certificate from us, which is valid for three years. One surveillance audit has to be performed each year during the term of validity.



## Our know-how for your success

TÜV NORD CERT is an internationally recognised and reliable partner for inspection and certification services throughout the world. Our experts and auditors have extensive knowledge based on experience and are generally permanently employed by TÜV NORD. This guarantees independence and neutrality, and also means we can offer continuity in supporting our clients. The benefit to you is clear: our auditors accompany and support the development of your company and provide you with objective feedback.

## Are you interested?

Please send us your response by e-mail.

We are looking forward to hearing from you.

Yes, I am interested in a certification according to ISO 37001. Please contact me.

I would like to be informed about current issues in the future via newsletter.

[I would like to go straight to newsletter subscription ►](#)

### Sender

Company .....

Mrs/Mr .....

Position .....

Street, No. ....

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