

“Dalla BS 10500 alla ISO CD 37001” Evoluzione della Normativa anticorruzione

Roma, 03 Febbraio 2016

Parlamentino del Consiglio Superiore dei Lavori Pubblici
CONVEGNO:
La Gestione del Rischio nel Settore delle Costruzioni

Preparato da: C.Rosso – Marzo 2016

Indice:

1. British Standard: BS 10500-2011
2. New York Item Proposal (NWIP) ed ISO-PC278
3. London Meeting 24-27 Giugno 2013
4. Madrid Meeting 25-27 Marzo 2014
5. Miami Meeting 16-19 Settembre 2014
6. Paris Meeting 23-27 Marzo 2015
7. Kuala Lumpur Meeting 28 Settembre – 2 Ottobre 2015
8. Oggi.... Marzo 2016
9. I passi futuri per arrivare alla ISO 37001:2016

Preparato da: C.Rosso – Marzo 2016

01. British Standard BS 10500:

BS 10500:2011



BSI Standards Publication

**Specification for an
anti-bribery management
system (ABMS)**

BS 10500:2011

BRITISH STANDARD

Publishing and copyright information

The BSI copyright notice displayed in this document indicates when the document was last issued.

© BSI 2011

ISBN 978 0 580 73835 7

ICS 13.310

The following BSI references relate to the work on this standard:

Committee reference CG/1

Draft for comment 11/30245267 DC

Publication history

First published November 2011

Amendments issued since publication

Date	Text affected
------	---------------

Novembre 2011:

- Il British Standard pubblica la BS 10500

NO COPYING WITHOUT BSI PERMISSION EXCEPT AS PERMITTED BY COPYRIGHT LAW

raising standards worldwide™



Preparato da: C.Rosso – Marzo 2016

01. British Standard BS 10500:

BRITISH STANDARD

BS 10500:2011

Contents

Foreword *ii*

Introduction *1*

- 1 Scope *1*
- 2 Terms and definitions *2*
- 3 Planning *3*
- 4 Adopting an anti-bribery policy and implementing the ABMS *4*
- 5 Monitoring and reviewing the ABMS *12*
- 6 Improvement of the ABMS *13*

Annexes

Annex A (informative) Guidance *14*

Annex B (informative) The Plan-Do-Check-Act (PDCA) cycle *18*

Bibliography *19*

List of figures

Figure B.1 – PDCA cycle applied to the anti-bribery management system *18*

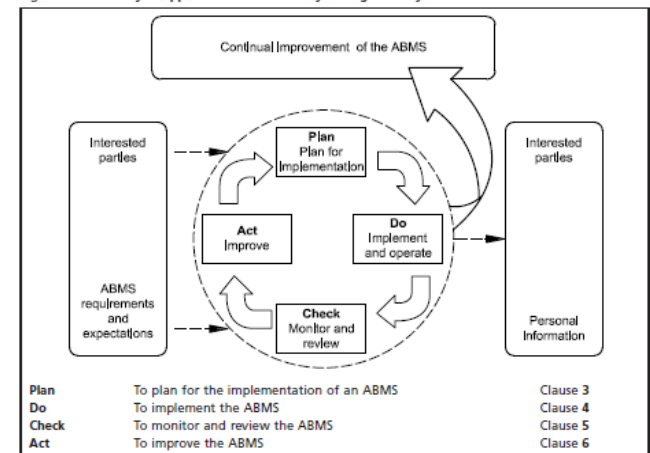
Preparato da: C.Rosso – Marzo 2016

01. British Standard BS 10500:

CONTENUTI:

- Definizione gli Scopi:
 - * In una logica Gestionale;
 - * Per tutti i Settori: Pubblico, Privato Volontario;
 - * Attraverso requisiti Generici.
- Declinazione dei Termini e Definizioni
- Traccia un processo di Pianificazione:
 - * In termini di Responsabilità
 - * In termini di Risorse Specificatamente Formate;
 - * In termini di Risorse Economiche e Materiali;
 - * In Termini di «Plan» temporale con relative scadenze;
 - * Collegandolo alla Dimensione e Tipologia dell'Ente.
- Definisce una policy, in una logica di «Sistema di Gestione» - ABMS (Monitoraggio e Miglioramento)

Figure B.1 PDCA cycle applied to the anti-bribery management system



02. New York Item Proposal (NWIP):

ISO Central Secretariat

1, ch. de la Voie-Creuse
Case postale 56
CH - 1211 Genève 20
Switzerland

Telephone + 41 22 749 01 11
Fax + 41 22 733 34 30
E-mail central@iso.org
Web www.iso.org

Organisation internationale de normalisation
International Organization for Standardization
Международная Организация по Стандартизации



Our ref. **TMB / NWIP**

TO THE ISO MEMBER BODIES

Date **2012-11-01**

New work item proposal – *Anti-bribery management system - Requirements*

Dear Sir or Madam,

Please find attached a new work item proposal submitted by BSI (United Kingdom) on *Anti-bribery management system - Requirements*. It should be noted that, if the NWIP is approved, the work is proposed to be carried out in a Project Committee.

You are kindly invited to complete the ballot form ([Form 05](#)) which could be downloaded at www.iso.org/forms and send it, preferably in Word format, to the Secretariat of the ISO Technical Management Board at tmb@iso.org before **1 February 2013**.

Yours faithfully,

Sophie Clivio
Secretary to the Technical Management Board

- Ottobre 2012 il BSI sottopone il NWIP all'ISO con la richiesta di costituzione di un Project Committee (PC).

- Con la chiusura del «Ballot» nel 03/2013, viene aperto l'ISO-PC278 «Anti-Bribery Management System – Requirements».

Preparato da: C.Rosso – Marzo 2016

03. London Meeting 24/27-06-2013:



NOTICE OF MEETING / DRAFT AGENDA CONVOCATION / PROJET D'ORDRE DU JOUR	
Date	2013-04-19
Reference	N10
ISO/PC 278	

Title of / Titre du TC/SC Anti-Bribery Management Systems - Requirements
--

Secretariat / Secrétariat BSI
Host / Invitant British Standards Institution (BSI)

MEETING / RÉUNION	PC278 - Preliminary
Meeting dates / Dates de la réunion	2013-06-24 to 2013-06-27
Place / Lieu	BSI 389 Chiswick High Road London, W4 4AL United Kingdom Tel : + 44 (0) 20 8996 9000 Web : http://www.bsigroup.com/

P- and O-members are invited to inform the secretariat of the committee concerned, within one month of the receipt of this notice of meeting, of their intention to be represented at the meeting, the approximate number of their delegates and their need for interpretation.

Whenever possible, the names of delegates (or observers) and the name of the head of the delegation should also be sent to the secretariat of the committee concerned at least one month before the opening of the meeting.

Les membres (P) et (O) sont invités, dans un délai d'un mois à partir de la réception de la présente convocation, à faire connaître au secrétariat du comité concerné leur intention d'être représentés à la réunion, le nombre approximatif de leurs délégués et leur besoin en matière d'interprétation.

Dans la mesure du possible, une liste indiquant les noms des délégués (ou observateurs), ainsi que le nom du chef de la délégation, devrait également parvenir au secrétariat concerné un mois au moins avant l'ouverture de la réunion.

Parallel meeting(s) / Réunion(s) parallèle(s)

- Dal 24 al 27 Giugno 2013 a Londra ha luogo il Meeting Preliminare all'attivazione del Project Committe 278 dell'ISO.

- Attraverso 5 Raccomandazioni e confrontandosi su 22 Quesiti si avvia il processo di Standardizzazione.

Preparato da: C.Rosso – Marzo 2016

04. Madrid Meeting 25/27-03-2014:



NOTICE OF MEETING / DRAFT AGENDA CONVOCATION	
Date	2013-11-22
Reference	
ISO/PC	278 N 27

Title of / Titre du PC278 ANTI-BRIBERY MANAGEMENT SYSTEMS	
Secretariat / Secrétariat Mike Henigan Committee Manager BSI Group 389 Chiswick High Road, London W4 4AL T: +44 (0)20 8996 7298 ✉ +44 (0)20 8996 7799 ✉ mike.henigan@bsigroup.com W: www.bsigroup.com	MEETING / RÉUNION Meeting dates / Dates de la réunion Tuesday 25 to Thursday 27 March 2014 Tuesday 25: 09.00 to 18.00 Wednesday 26: 09.00 to 18.00 Thursday 27: 09.00 to 16.00 <i>Registration details and additional meeting information will be provided in due course</i>
Host / Invitant Asociación Española de Normalización y Certificación (AENOR) Génova, 8 28004 Madrid Spain	Place / Lieu KPMG Edificio Torre Europa Paseo de la Castellana 95 28046 Madrid Spain

• Dal 25 al 27 Marzo 2014 a Madrid ha luogo la 1° Riunione Plenaria ed il 2° Meeting del Project Committe 278 dell'ISO.

• Vengono discussi i 228 Commenti ed Osservazioni pervenute sul Work Draft1: WD1 37001 e vengono generate complessive 46 pagine di «Proposte di cambiamento», sulla base dei 228 item pervenuti.

Preparato da: C.Rosso – Marzo 2016

05. Miami Meeting 16/19-09-2014:



NOTICE OF MEETING / DRAFT AGENDA CONVOCAZIONE	
Date	2014-06-23
Reference	
ISO/PC	278
	N 64

Title of / Titre du PC278 ANTI-BRIBERY MANAGEMENT SYSTEMS	
Secretariat / Secrétariat bsi. Mike Henigan Committee Manager BSI Group 389 Chiswick High Road, London W4 4AL T: +44 (0)20 8996 7298 ☎ +44 (0)20 8996 7799 ✉ mike.henigan@bsigroup.com W: www.bsigroup.com	MEETING / RÉUNION Meeting dates / Dates de la réunion Tuesday 16 to Friday 19 September 2014 Tuesday 16: 09.00 to 18.00 Wednesday 17: 09.00 to 18.00 Thursday 18: 09.00 to 18.00 Friday 19: 09.00 to 16.00 <i>Registration details and additional meeting information will be provided in due course</i>
Host / Invitant ANSI American National Standards Institute	Place / Lieu Greenberg Traurig 333 SE 2nd Avenue Suite 4400 Miami, FL 33131 USA

- Dal 16 al 19 Settembre 2014 a Miami ha luogo il 3° Meeting del Project Committe 278 dell'ISO.

- Vengono discussi i 427 Commenti ed Osservazioni pervenute sul Work Draft2: WD2 37001 e la Liaison con FIDIC (International Federation of Consulting Engineers) e con FIEC (European Construction Industry Federation).

- Vengono generate complessive 111 pagine di «Proposte di cambiamento», sulla base dei 427 item pervenuti.

Preparato da: C.Rosso – Marzo 2016

06. Parigi Meeting 23/27-03-2015:



ISO/PC 278 N 82

ISO/PC 278 Anti-bribery management systems
Email of secretary: mike.henigan@bsigroup.com
Secretariat: BSI (UK)

PC278 N82 Registration details for Paris meeting, diary dates for September

Document type: Other committee document

Date of document: 2014-12-18

No. of pages: 1

Background: Dear Members,

Registration for Paris meeting, 23-27 March 2015

Further to the notice of the next meeting of ISO/PC 278 being held in Paris, France from 23-27 March 2015 (see document N81), please register your attendance at <http://international-events.afnor.org/isopc278>, where you can also find additional information about hotels, etc.

If you require further information on registration, please contact Rodolphe Civet at AFNOR - rodolphe.civet@afnor.org or the PC278 Secretariat.

For an invitation letter for visa purposes, please contact Véronique Meyer at AFNOR - veronique.meyer@afnor.org - allowing plenty of time for the visa request to be processed.

Paris meeting accreditation

Please note that all participants in the meeting must be accredited by their respective member body or liaison organization, who are requested to confirm accreditation to the ISO/PC 278 Secretariat by Friday 20 February 2015.

In order to receive relevant documentation for the meeting, participants must be registered with ISO Global Directory for ISO/PC 278 – this should be arranged through your National Member Body (for liaison organizations only, please contact Mike Henigan – mike.henigan@bsigroup.com).

Diary dates for September 2015

The dates for the meeting planned in Kuala Lumpur, Malaysia are from Monday 28 September to Friday 2 October 2015. Please note that these are dates for your diary only, please do not make any bookings for flights or hotels until the formal notice of meeting is circulated.

With kind regards and best wishes for the festive season and a very happy and prosperous New Year,

Mike Henigan
Secretary to ISO/PC 278

- Dal 23 al 27 marzo 2015 a Parigi ha luogo il 4° Meeting del Project Committe 278 dell'ISO.

- Vengono discussi i 706 Commenti ed Osservazioni pervenute sul Work Draft2: WD2 37001 e vengono generate complessive 118 pagine di «Proposte di cambiamento», sulla base dei 427 item pervenuti.

- Viene fatto circolare il Committe Draft CD2 dell'ISO 37001 in Balloting sino al 19 Luglio 2015.

Preparato da: C.Rosso – Marzo 2016

07. Kuala Lumpur Meeting 28/09 – 02/10/2015



NOTICE OF MEETING / DRAFT AGENDA CONVOCATION	
Date	2015-05-26
Reference	
ISO/PC	278
	N 103

Title of / Titre du PC278 ANTI-BRIBERY MANAGEMENT SYSTEMS	
Secretariat / Secrétariat bsi. Mike Henigan Lead Committee Manager BSI Group 389 Chiswick High Road, London W4 4AL T: +44 (0)20 8996 7298 ☎ +44 (0)20 8996 7799 ✉ mike.henigan@bsigroup.com W: www.bsigroup.com	MEETING / RÉUNION Meeting dates / Dates de la réunion Monday 28 September to Friday 2 October 2015 Monday 28: 10.00 to 18.00 Tuesday 29: 09.00 to 18.00 Wednesday 30: 09.00 to 18.00 Thursday 1 October: 09.00 to 18.00 Friday 2: 09.00 to 16.00 <i>See below for registration details and additional meeting information</i>
Host / Invitant Department of Standards Malaysia (DSM)	Place / Lieu Malaysian Institute of Integrity Persiaran Tuanku Syed Sirajuddin off Jalan Tunku Abdul Halim 50480 Kuala Lumpur Malaysia

- Dal 28 settembre al 02 Ottobre 2015, a Kuala Lumpur (Malesia) ha luogo il 5° Meeting del Project Committe 278 dell'ISO.

- Vengono discussi i 706 Commenti ed Osservazioni pervenute sul Work Draft2: WD2 37001 e vengono generate complessive 118 pagine di «Proposte di cambiamento», sulla base dei 427 item pervenuti.

Preparato da: C.Rosso – Marzo 2016

07. Kuala Lumpur Meeting 28/09 – 02/10/2015



ISO/PC 278 Kuala Lumpur, 28 Sept-2 Oct 2015

Future Timelines

(all dates from October 2015 subject to formal confirmation)

September 2015	Comments review by PC Meeting 4, Malaysia, 28th September to 2nd October (5 days)
October	Prepare DIS (Editorial drafting group) – submit to PC278 Sec 30th October
November	5 th November: DIS to ISO – translation period
December	DIS to ISO – translation period
January 2016	6 th January: DIS to National Member Bodies
February	DIS to National Member Bodies
March	DIS to National Member Bodies
April	DIS Ballot closes: 6 th April Circulate DIS comments (6 weeks minimum)
May (end May/early June)	DIS comments review 30 th May: Meeting 5 DIS Comments resolution
June	Final ISO work* [*optional FDIS or ballot to skip FDIS]
July	Final ISO work
August	Final ISO work
September	Publication ISO 37001

- Durante il Kuala Lumpur Meeting vengono fissate le Timelines per arrivare alla norma, prevista nel Settembre 2016.

Preparato da: C.Rosso – Marzo 2016

08. Oggi Marzo 2016:

1	Contents	Page
2	Foreword.....	4
3	Introduction	5
4	1 Scope	6
5	2 Normative references	7
6	3 Terms and definitions	7
7	4 Context of the organization	11
8	4.1 Understanding the organization and its context	11
9	4.2 Understanding the needs and expectations of stakeholders	11
10	4.3 Determining the scope of the anti-bribery management system	11
11	4.4 Anti-bribery management system	12
12	4.5 Bribery risk assessment	12
13	5 Leadership	12
14	5.1 Leadership and commitment	12
15	5.1.1 Governing body	13
16	5.1.2 Top management	13
17	5.2 Anti-bribery policy	14
18	5.3 Organizational roles, responsibilities and authorities	14
19	5.3.1 Roles and responsibilities	14
20	5.3.2 Anti-bribery compliance function	14
21	5.3.3 Delegated decision-making	15
22	6 Planning	15
23	6.1 Actions to address risks and opportunities	15
24	6.2 Anti-bribery objectives and planning to achieve them	16
25	7 Support	16
26	7.1 Resources	16
27	7.2 Competence	16
28	7.2.1 General	16
29	7.2.2 Employment procedures	17
30	7.3 Awareness and training	18
31	7.4 Communication	18
32	7.5 Documented information	19
33	7.5.1 General	19
34	7.5.2 Creating and updating	19
35	7.5.3 Control of documented information	19
36	8 Operation	20
37	8.1 Operational planning and control	20
38	8.2 Due diligence	20
39	8.3 Financial controls	20
40	8.4 Non-financial controls	21
41	8.5 Implementation of anti-bribery controls by controlled organizations and by business associates	21
42	8.6 Anti-bribery contract terms	21
43	8.7 Gifts, hospitality, donations and similar benefits	22
44	8.8 Managing inadequacy of anti-bribery controls	22
45	8.9 Raising concerns	22
46	8.10 Investigating and dealing with bribery	23
47	9 Performance evaluation	23

- Questa è la struttura dell'attuale versione ISO DIS;

Preparato da: C.Rosso – Marzo 2016

08. Oggi Marzo 2016:

49	9.1	Monitoring, measurement, analysis and evaluation	23
50	9.2	Review by anti-bribery compliance function	23
51	9.3	Internal audits	24
52	9.4	Top management review	25
53	10	Improvement	25
54	10.1	Nonconformity and corrective actions	25
55	10.2	Continual improvement	26
56	Annex A (informative)	Guidance on the use of this International Standard	28
57	A.1	General	28
58	A.2	Scope of the anti-bribery management system	28
59	A.2.1	Standalone or integrated anti-bribery management system	28
60	A.2.2	Facilitation and extortion payments	28
61	A.3	Reasonable and proportionate	29
62	A.4	Risk Assessment	30
63	A.5	Roles and responsibilities of governing body and top management	31
64	A.6	Anti-bribery compliance function	32
65	A.7	Resources	33
66	A.8	Employment procedures	33
67	A.8.1	Due diligence on personnel	33
68	A.8.2	Performance bonuses	33
69	A.8.3	Conflicts of interest	34
70	A.8.4	Bribery of the organization's personnel	34
71	A.8.5	Temporary staff or workers	35
72	A.9	Awareness and training	35
73	A.10	Due diligence	36
74	A.11	Financial controls	37
75	A.12	Non-financial controls	38
76	A.13	Implementation of anti-bribery management system by controlled organizations and business associates	39
78	A.14	Anti-bribery contract terms	41
79	A.15	Gifts, hospitality, donations and similar benefits	42
80	A.16	Internal audit	43
81	A.17	Documented information	44
82	A.18	Investigating and dealing with bribery	44
83	A.19	Monitoring	44

- 10 Punti Normativi;
- 19 Allegati.

Preparato da: C.Rosso – Marzo 2016

09. I Passi Futuri....

- In fase di completamento la norma: ISO 17021-9 Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 9: Competence requirements for auditing and certification of anti-bribery management systems;
- E' previsto l'ultimo Meeting per il JWG 47 (Joint Working Group – Member CASCO Committee on Conformity Assessment) a Ginevra (Svizzera) per il 06-08 Aprile 2016;
- Le ultime votazioni di Balloting sono previste in seno ad ISO/CASCO per Maggio / Giugno 2016 (In relazione alla chiusura dei lavori del JWG 47).
- Per Luglio / Agosto 2016 è prevista la pubblicazione versione FINALE (FDIS);
- Per il mese di Settembre 2016 è prevista la pubblicazione della Norma ISO 37001:2016.

Preparato da: C.Rosso – Marzo 2016



Grazie,

Per la vs. attenzione.

*Claudio Rosso
(Presidente)
AICQ Nazionale*

Preparato da: C.Rosso – Marzo 2016