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Client Success Story

*The road of UTI companies
in Bucharest towards ISO 37001*





The ISO 37001 certification process has been a starting point to drive organizational change and redefine trust within the company, as well as a good opportunity to provide extensive anti-bribery training to employees.

Setting the goal to achieve ISO 37001 certification has been the trigger to implement a program meant to raise awareness and increase preventive measures. Since its beginning in 2015, this program has intensified each year and will continue indefinitely.

This certification acknowledges our model of responsible business conduct, based on full compliance with the rules and on zero-tolerance approach towards bribery. It also proves that UTI's compliance program is mature and effective in preventing and detecting bribery-related misconduct and has the means to routinely assess the effectiveness of the anti-bribery regulations and continually improve them over time."





About UTI

UTI is a multi-services group of companies, driven by a permanent state of innovation, ambitious approaches, and a flair for entrepreneurship that continually reinvents to seize market opportunities.

UTI brings together diversified capabilities reunited in 8 companies, offering cutting-edge technology. It combines the expertise of over 1,300 employees, as well as strategic partnerships with world renowned partners being uniquely well positioned to capture further growth. The companies deliver diversified services and products such as: physical, information and IT security, intelligent transport solutions (ITS), fare collection solutions, e-Government information systems, automation and facility management services that are uniquely customized to perfectly address customers' needs.

UTI has an outstanding reputation for the quality and reliability of the integrated solutions and services it delivers, the innovation it incorporates in its solutions, and the technological excellence, setting industry's best practices.

Why did you choose to get certified against ISO 37001?

The company's commitment to integrity and ethical business practices have always been the grounds for UTI's success. Our core values - Integrity, Trust, Responsibility and Excellence - are fundamental to who we are and what we do, and we have always conducted our activity in compliance with ethical principles and in observance of all national and international laws.

However, in October 2015, even though none of UTI's companies was charged with any criminal action, the company's trustworthiness came under scrutiny and its integrity was called into question. The company took prompt steps to start an extended compliance and business conduct audit, in order to identify the main risk factors and schemes, to improve the internal procedures and related compliance control policies, and to efficiently manage all of the above.

Consequently, the Compliance Department (with money laundry prevention attributes as well) was created. The Compliance and Ethics hotline was established and made available both to the employees and to external partners and clients. The Code of Business Conduct and Ethics, and the internal regulations were analyzed and modified to provide stronger and more efficient anti-bribery provisions which would prevent events that could affect the company's reputation and business practices – this also included the compulsory approval of the Compliance Department.

As a result, the bribery and corruption prevention system has been integrated within the processes of the company which has complemented the ethics and compliance policy, the business conduct code, the internal business ethics-related regulations, the corruption prevention, and fair competition practices that the company had already implemented.

In 2018, 4 of UTI's companies: UTI Grup, certSIGN, Trident Servicii si Mentenanta (formely UTI Servicii Portuare), and UTI Facility Management, went through a comprehensive audit that focused on the adequacy of the bribery and corruption prevention system that UTI implemented in conformity with the ISO 37001 standard, and obtained the ISO 37001 certification for their anti-bribery management system. Since 2018, the companies have undergone annual surveillance audits and are about to be audited for the certification renewal in 2021. Moreover, in 2021, TIU Investments and Management - another UTI company - is getting audited to get the ISO 37001 certification.

What are the main benefits of your company after implementation and certification against ISO 37001?

- ✓ Evidence of due diligence in case of legal inquiries proving the UTI has taken preventive and proactive measures to avoid any occurrence of non-ethical behavior.
- ✓ Stakeholder assurance that UTI is actively observing internationally recognized standards to prevent bribery and corruption.
- ✓ Protection of the organization, its assets, shareholders, and representatives from the effects of corruption.
- ✓ Cost reduction by implementing effective internal processes that regularly monitor key activities, control risks and costs related to bribery.
- ✓ Competitive advantages and protection of UTI's reputation in relation to its clients and partners.
- ✓ Positive effect on the company's culture – the certification enables a culture of integrity and transparency. It also ensures the protection of whistleblowers, making it more likely that issues are detected before any damage has occurred.

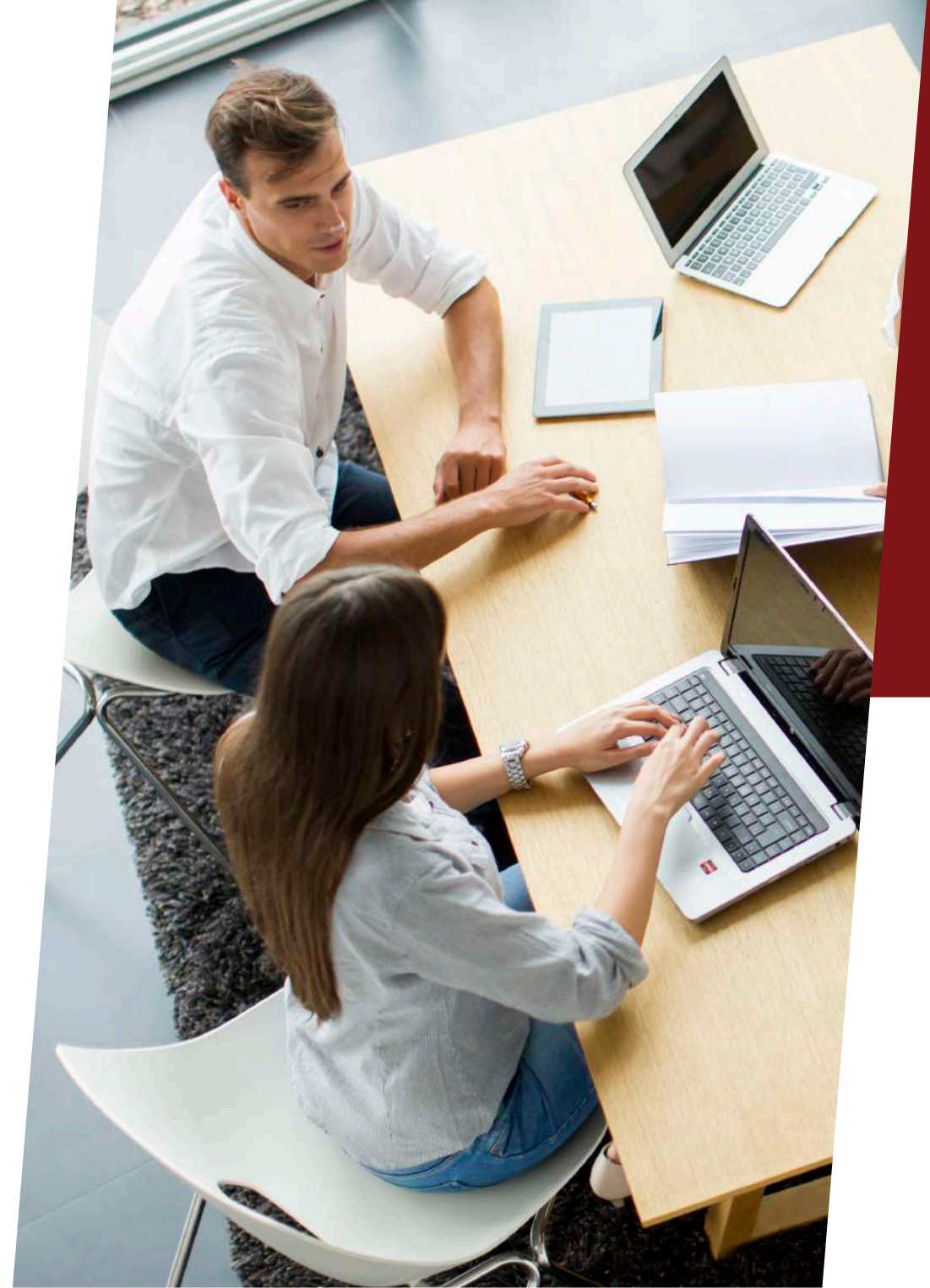
Your auditing experience with PECB MS

PECB MS has been our certification audit provider since July 2018. Initial audit against ISO 37001 Anti-Bribery Management System was performed in our Bucharest sites. Our companies CERTSIGN S.A., UTI GRUP S.A., UTI FACILITY MANAGEMENT S.A., and TRIDENT SERVICII SI MENTENANTA S.A. were subject to annual professional and in-depth audits.

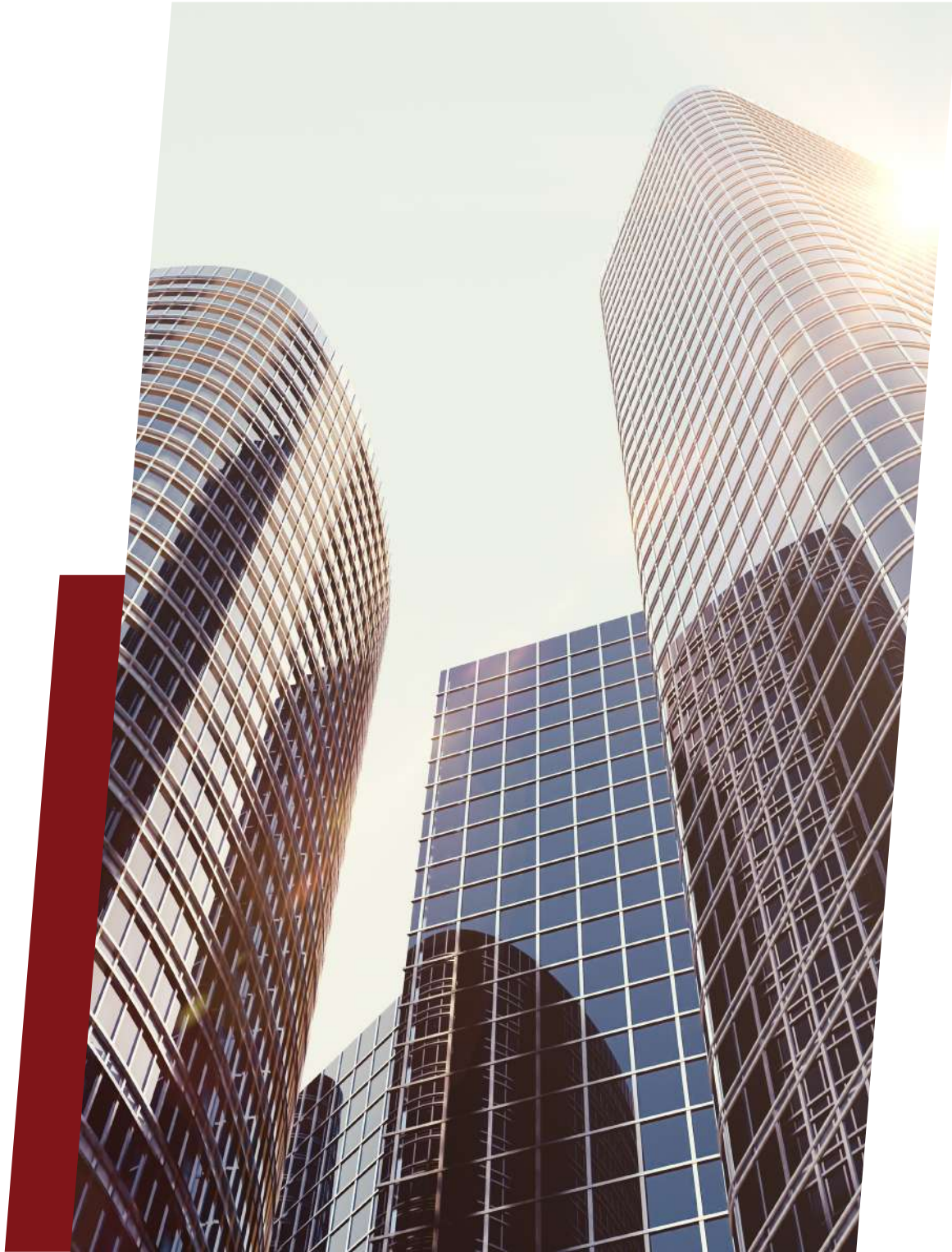
PECB MS staff proved a professional, competent, and concise approach when it comes to auditing standard's requirements and delivering customer service.

In addition to the knowledge and understanding we gained from ISO 37001, the audit and certification had a tremendous impact on the public perception of our well-established ethics system. We find ISO 37001 certification to be a very efficient tool in organizing the anti-bribery management system.

We are happy and grateful to be certified against ISO 37001 and we highly encourage other organizations to taste the feeling of premium services that PECB MS offers.



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About PECB MS

PECB MS is specialized in the certification of management systems on a wide range of international standards. As a global provider of audit and certification services, PECB MS offers its expertise on multiple fields, including but not limited to Information Security, Quality Management, Business Continuity, Service Management, Health, Safety and Environmental Management. PECB MS provides certification services in accordance with ISO/IEC 17021 and ISO/IEC 17065.

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