



ACCREDITATION SCHEME FOR MANAGEMENT SYSTEMS CERTIFICATION BODIES

CT 21

SAC CRITERIA FOR CERTIFICATION BODIES (ANTI-BRIBERY MANAGEMENT SYSTEM)

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1 Introduction

- 1.1 This document specifies the supplementary SAC criteria for certification bodies on Anti-Bribery Management Systems (ABMS) certification to *ISO 37001: Anti-Bribery Management Systems – Requirements with Guidance for Use*, and is to be used with ISO/IEC 17021-1 and the applicable IAF Mandatory Documents.

2 Competence requirements for auditing and certification personnel

- 2.1 A certification body shall appoint competent personnel to review applications, conduct audits, review audit reports and make certification decisions. These personnel shall meet the applicable requirements specified in ISO/IEC TS 17021-9 *Competence requirements for auditing and certification of anti-bribery management systems*.
- 2.2 Qualification and work experience can be used as part of the requirements. However, competence is not based on these alone as it is important to ensure that personnel can demonstrate the ability to apply the specific knowledge and skills that one would expect a person to have after completing a qualification or having a certain amount of work experience.
- 2.3 An example of a qualification for auditors and personnel who review audit reports and make certification decisions is the completion of a course on ISO 37001 that covers the requirements for knowledge and understanding specified in ISO/IEC TS 17021-9. Completion of other courses that cover the requirements for knowledge and understanding specified in ISO/IEC TS 17021-9 can be evaluated and consider as a qualification.

3 Duration of ABMS Audits

3.1 Single Site Audit

For initial audit, the minimum initial audit duration shall be as indicated in Table 3-1, in accordance to IAF Mandatory Document 5 (IAF MD 5):

Table 3-1: Audit Time per Site

Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)	Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)
1-25	3	1176-1550	14
26-45	4	1551-2025	15

46-65	5	2026-2675	16
66-85	6	2676-3450	17
86-125	7	3451-4350	18
126-175	8	4351-5450	19
176-275	9	5451-6800	20
276-425	10	6801-8500	21
426-625	11	8501-10700	22
626-875	12	>10700	Follow progression
876-1175	13		

3.1.1 The duration of a Stage 1 audit should not exceed 20% of the audit time calculated.

3.1.2 Annual surveillance audit duration shall be at least 1/3 of initial audit duration.

3.1.3 Recertification audit duration shall be at least 2/3 of initial audit duration.

3.2 Multi-sites Audit

3.2.1 For multi-site certification, the organization shall have a single management system, subject to centralized management review. All sites shall be subject to the organization's internal audit programme. For multi-entities organization, each legal entity shall be considered as a site.

3.2.2 The minimum number of sites to be visited per audit shall be:

a) Initial Audit

The size of the sample shall be the square root of the number of sites: ($y=\sqrt{x}$), rounded up to the next whole number, where y = number of sites to be sampled and x = total number of sites.

b) Surveillance Audit

The size of the annual sample shall be the square root of the number of sites with 0.6 as a coefficient ($y=0.6 \sqrt{x}$), rounded up to the next whole number.

c) Re-certification Audit

The size of the sample shall be the same as for an initial audit. Nevertheless, where the management system has proved to be effective over the certification cycle, the size of the sample could be reduced to, $y=0.8 \sqrt{x}$, rounded up to the next whole number.

d) All sites shall be audited at least once within the 3-year certification cycle.

3.2.3 The audit time shall be based on the total number of man-days calculated for each site as per Table 3-1. Certification body shall establish a documented plan on the calculated audit time for each site and selection of sites for the 3-year certification cycle. The documented plan shall be approved by the certification body competent personnel.

3.2.4 The reduction of audit time per site shall not be greater than 50%. Reduction of audit time shall be approved with justification by the certification body competent personnel and documented.

3.3 If ABMS is audited as part of an integrated management system by the certification body, the total reduction of audit time per site shall not be greater than 20%.

3.4 All requirements in the ABMS Standard shall be audited by the certification body during initial and recertification audits.

3.5 The certification body shall include the following during surveillance audits:

- a) system documentation and system changes;
- b) management review;
- c) complaints;
- d) evaluation of corrective actions;
- e) internal audit planning and evaluation of the results; and
- f) applicable statutory and regulatory requirements pertaining to ABMS Standard.