July 27, 2018

TO: IAS-ACCREDITED MANAGEMENT SYSTEMS CERTIFICATION BODIES
AND OTHER INTERESTED PARTIES

SUBJECT: Proposed Revisions to the Accreditation Criteria for Management Systems Certification Bodies, Subject AC477-0918-0918-R1 (MS/PM)

Hearing Information:
IAS Accreditation Committee
Thursday, September 27, 2018
8:00 a.m.
Fullerton Marriott at California State University
2701 Nutwood Avenue
Fullerton, CA 92831
(714) 738-7800

Dear Madam or Sir:

The proposed IAS Accreditation Criteria for Management Systems Certification Bodies, AC477, has been placed on the agenda for committee consideration at the above-noted meeting. The changes are being requested to accommodate on-going operations and expansion into new management system disciplines.

The changes proposed are summarized below:

1. Under 1.2:
   a. Added reference to 17021 series of standards
   b. Broadly mentioned IAF Resolutions
   c. Removed mention of specific IAF Resolutions
2. Under 2:
   a. Added identification of APAC: Asia Pacific Accreditation Cooperation
   b. Added acronym CAB: Conformity Assessment Body
3. Under 3.1: Changed wording in last point to improve clarity
4. Under 3.2:
   a. Added language to improve clarity
b. Added line allowing for IAS consideration of disciplines not mentioned in the criteria
c. Removed extended list of disciplines offered

5. Under 4.1:
   a. Added language for clarity
   b. Added URL for IAS Portal

6. Under 4.2:
   a. Added language for clarity
   b. Added requirements for CBs to submit list of entities operating on their behalf as well as a list of countries of operation

7. Under 4.3:
   a. Added language for clarity
   b. Expanded information on what the CB must provide to IAS prior to onsite assessment

8. Under 5.2:
   a. Added language for clarity
   b. Removed extended list of disciplines offered

9. Under 6: Added reference to APAC and placeholder for APAC URL

10. Annex A:
    a. Removed additional information on ISO 37001: Anti-Bribery Management Systems
    b. Added comprehensive list of standards related to IAS MSCB Program

11. Annex B:
    a. Removed additional information on ISO 55001: Asset Management Systems
    b. Added glossary of MSCB standards and their full titles for reference

You are cordially invited to submit written comments, or to attend the committee hearing and present verbal comments. Written comments will be forwarded to the committee, prior to the hearing, if received by September 6, 2018. Please use the comment form link found on the Accreditation Committee meeting page on the IAS website, www.iasonline.org. Comments may be postal mailed to the address above, or emailed to iasinfo@iasonline.org.

Any written material submitted for committee consideration will be available for public distribution as set forth in Section 4.0 of the Rules of Procedure for Accreditation Committee Meetings (copy enclosed).

Visual aids (including, but not limited to, charts, slides, videos, or presentation software) for viewing at meetings will be permitted only if the presenter provides to IAS, before the presentation, a copy of the visual aid(s) in a medium that can be retained by IAS with its record of the meeting, and that can also be provided to interested parties.

Your cooperation is requested in forwarding to the Brea office, as noted above, all material directed to the committee. Prior to the hearing, parties interested in the deliberations of the committee should refrain from communicating, whether in writing or
verbally, with committee members regarding agenda items. The committee reserves the right to refuse communications that do not comply with this request.

If you have any questions, please contact Mohan Sabaratnam, Program Manager, at 562-364-8201, extension 3337, Patrick McCullen, Program Coordinator, at 562-364-8201, extension 3889, or the undersigned at 562-364-8201. You may also reach us by e-mail at iasinfo@iasonline.org.

Yours very truly,

Raj Nathan
President

RN/nl

Enclosures

cc: Accreditation Committee
RULES OF PROCEDURE FOR ACCREDITATION COMMITTEE MEETINGS

1.0 PURPOSE

The purpose of the Accreditation Committee and its meetings is to safeguard IAS’ impartiality to monitor the work of and to approve accreditation criteria for International Accreditation Service, Inc. (IAS).

The committee meetings, which are open public hearings, provide an opportunity for effective involvement by all interested parties.

2.0 MEETINGS

2.1 The Accreditation Committee shall schedule meetings that are open to the public in discharging its duties under Section 1, subject to Section 5.0 of these rules.

2.2 To properly discharge its responsibilities with respect to monitoring of IAS accreditation activities, the committee shall have a standing item on its meeting agenda for a presentation by staff on the status of its accredited programs and information on any pending appeals.

2.3 All scheduled meetings shall be publicly announced.

2.4 A majority of the voting Accreditation Committee members shall constitute a quorum. A majority vote of members present is required on any action.

2.5 If a specific interest group is not represented, votes by the committee on subjects related to that interest group will be held in abeyance. IAS staff shall make pertinent information available to absentee committee members, and ballot the members at a later stage. Records of such ballots shall be made available upon request.

2.6 In the absence of the nonvoting Chair-Moderator, Accreditation Committee members present shall elect an alternate Chairman from the committee for that meeting. The alternate Chairman shall be counted as a voting committee member for purposes of maintaining a committee quorum and to cast a tie-breaking vote of the committee.

2.7 Minutes of the meetings shall be kept.

3.0 MEMBER COMPETENCE CRITERIA

Members of the Accreditation Committee shall be familiar with conformity assessment and the implementation of regulatory requirements within their industry sector. They shall possess:

• A Baccalaureate degree from an accredited institution or a minimum of ten years equivalent experience as determined by IAS;

• Current employment within the conformity assessment, regulatory field, academia, industry, or IAS accredited CAB; and

• Demonstrated expertise in one or more accreditation programs offered by IAS.
4.0 MEETING RECORDS

An electronic record of meetings shall be made by IAS; no other audio, video, electronic or stenographic recordings of the meetings will be permitted. Visual aids (including, but not limited to, charts, slides, videos, or presentation software) viewed at meetings shall be permitted only if the presenter provides IAS before presentation with a copy of the visual aid in a medium which can be retained by IAS with its record of the meeting and which can also be provided to interested parties requesting a copy. A copy of the IAS recording of the meeting and such visual aids, if any, will be available to interested parties upon written request made to IAS together with a payment as required by IAS to cover costs of preparation and duplication of the copy. These materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

5.0 WRITTEN COMMUNICATIONS AND SUBMISSIONS

Parties interested in the deliberations of the committee should refrain from communicating, whether in writing or verbally, with committee members regarding agenda items. All written communications and submissions regarding agenda items should be delivered to IAS. All such written communications and submissions shall be considered nonconfidential and available for discussion in open session of an Accreditation Committee meeting, and shall be delivered at least twenty days before the scheduled Accreditation Committee meeting if they are to be forwarded to the Committee. Correspondence received by IAS will not be released to any party, except to the Accreditation Committee, prior to the meeting without permission of the author. The committee reserves the right to refuse recognition of communications which do not comply with the provisions of this section. All such communications and submissions will be available from IAS upon written request and payment of costs associated with duplication. The materials will be available shortly after the conclusion of the meeting but will no longer be available after 60 days have elapsed from the conclusion of the meeting.

6.0 CLOSED SESSIONS

Meetings shall be open except that the chairman may call for a closed session to seek advice of counsel.

7.0 ACCREDITATION CRITERIA

Criteria are established by the committee to provide a basis for International Accreditation Service, Inc., accreditations. Consideration of accreditation criteria must be in conjunction with a current and valid application for an IAS accreditation listing or as otherwise determined by the Accreditation Committee.

7.1 Procedure

7.1.1 New Criteria

7.1.1.1 Proposed accreditation criteria may be submitted by interested parties to IAS, and/or shall be developed by the IAS staff and discussed in open session with the Accreditation Committee during a scheduled meeting.

7.1.1.2 Proposed accreditation criteria shall be available to interested parties approximately 60 days before discussion at the committee meeting, unless determined by IAS management that extraordinary consideration and electronic balloting are needed.

7.1.1.3 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in proposed new criteria may deliver communications and submissions regarding such proposed criteria to IAS within 40 days of the posting of the public notice on the IAS website. Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.1.4 Attendees at Accreditation Committee meetings shall have the opportunity to speak on accreditation criteria listed on the meeting agenda, to provide information to committee members.
7.1.2 Existing Criteria

7.1.2.1 Changes to existing accreditation criteria may be submitted by interested parties to IAS, and/or shall be changed by the IAS staff. Existing accreditation criteria may be revised by the committee either (i) at a public meeting pursuant to the procedures set forth herein, or (ii) by electronic ballot, provided public notice is provided as stipulated in Section 7.1.1.2.

7.1.2.2 The committee shall be informed of all pertinent written communications received by IAS. Parties interested in the proposed revisions to accreditation criteria may deliver communications and submissions regarding such proposed revisions to IAS within the following timelines:

<table>
<thead>
<tr>
<th>Type</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Meeting</td>
<td>40 Days after posting of proposed criteria</td>
</tr>
<tr>
<td>Electronic Balloting Process</td>
<td>30 Days after posting of proposed criteria</td>
</tr>
</tbody>
</table>

Such communications and submissions will otherwise be subject to the provisions of Section 4.0 of these rules.

7.1.3 ELECTRONIC BALOTTING

7.1.3.1 IAS management shall provide written rationale and seek permission and documented approval from the IAS Accreditation Committee chair to propose new criteria or to revise existing criteria for extraordinary consideration and electronic balloting by the committee.

7.1.3.2 Proposed accreditation criteria shall be available to interested parties approximately 30 days before consideration by the committee. All pertinent written communications received by IAS relating to the proposed criteria shall be received no later than 30 days after the posting of the criteria. Ballots, along with comments received and staff recommendations, will be submitted to the committee for consideration. The committee shall return their ballots with their recommendations within 10 days from the date ballots are sent. The results of the balloting will be compiled and forwarded to the chair of the committee for validation and decision.

7.1.3.3 The electronically balloted criteria shall be brought back to the next regularly scheduled accreditation committee hearing as per Section 7.1.2 of these rules.

7.1.4 Effective Date of Published Criteria

7.1.4.1 The effective date of approved accreditation criteria or approved revisions to existing accreditation criteria shall be no earlier than 30 days following the public meeting.

7.1.4.2 Approved criteria using electronic balloting shall be effective the date of posting of the criteria on the IAS website.

7.2 Approval

Approval of accreditation criteria shall be as specified in Section 2.4 of these rules.

8.0 ACCREDITATION COMMITTEE MEMBERS
8.1 The IAS Accreditation Committee members are appointed or reappointed annually by the IAS Board of Directors in consultation with the IAS President.

8.2 Committee members are selected from senior management positions within accredited organizations, users of accreditation, industry groups and governmental or regulatory organizations. The individuals appointed to the committee shall have knowledge of regulatory codes within their industry sector and international conformity assessment process and practices.
PROPOSED REVISIONS TO THE ACCREDITATION CRITERIA FOR MANAGEMENT SYSTEM CERTIFICATION BODIES

AC477

Proposed September 2018

PREFACE

The attached accreditation criteria have been proposed to provide all interested parties with an opportunity to comment. These criteria may be further revised as needed. The criteria are developed and adopted following public hearings conducted by the International Accreditation Service, Inc. (IAS), Accreditation Committee and are effective on the first of the month following approval by the Accreditation Committee, but no earlier than 30 days following the approval.
1. INTRODUCTION

1.1. Scope: These criteria set forth the requirements for obtaining and maintaining International Accreditation Service, Inc. (IAS), Management System Certification Body accreditation. The criteria supplement the IAS Rules of Procedure for Management System Certification Bodies.

1.2. Normative and Reference Documents: Publications listed below refer to current editions (unless otherwise stated).

1.2.1 ISO/IEC Standard 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements

1.2.2 ISO/IEC Standard 17021 series of standards as applicable

1.2.3 All IAF Mandatory Documents (MD)

1.2.4 All IAF Resolutions related to accreditation bodies and transitions as available on the IAF website 2015-14. Accredited certification bodies shall not issue non-accredited certifications in accredited scope fields.

1.2.5 IAF Resolution 2016-17. Accredited certification documentation must display the accreditation body symbol/mark.

1.2.6 All IAF Informative Documents (ID)

1.2.7 ISO/IEC Standard 17000, Conformity assessment – Vocabulary and general principles

2. ACRONYMS AND DEFINITIONS

Applicable definitions found in ISO/IEC Standard 17000 series apply.

2.1. IAF: International Accreditation Forum

2.2.2. APAC: Asia Pacific Accreditation Cooperation

2.3. MSCB: Management System Certification Body

2.2.4. CAB: Conformity Assessment Body

2.3.2.5 Witness Audits: Certification audits that are observed by an IAS assessor

3. ELIGIBILITY

3.1. Accreditation services are available to all third-party Management System Certification Bodies that meet the following requirements:

3.1.1 Have at least one certified customer

3.1.2 Have completed at least one Internal Audit and one Management Review
3.1.3 Have a management system based on the requirements of the ISO/IEC 17021 series of standards (as applicable)

3.1.4 Have at least one auditor or pool of auditors approved for all IAF technical cluster, critical codes, technical areas or category in the requested scope of accreditation

3.2 Accreditation services are available for all third-party Management System Certification Bodies that provide certification for the following disciplines listed in Annex A and Annex B (Glossary). These publications refer to current editions (unless otherwise stated). IAS may consider requests for recognition of other disciplines on a case-by-case basis.

3.2.1 ISO 9001: Quality management systems – Requirements (QMS)

3.2.2 ISO 13485: Medical devices – Quality management systems – Requirements for regulatory purposes (MDQMS)

3.2.3 ISO 14001: Environmental management systems – Requirements with guidance for use (EMS)

3.2.4 ISO 14065: Greenhouse gases – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition (GGVV)

3.2.5 OHSAS 18001: Occupation health and safety management systems. Requirements (OHSMS)

3.2.6 ISO 20000-1: Information technology – Service management – Part 1: Service management system requirements (ITSMS)

3.2.7 ISO 22000: Food safety management systems – Requirements for any organization in the food chain (FSMS)

3.2.8 FSSC 22000: Food Safety System Certification (FSSC)

3.2.9 ISO 22301: Societal security – Business continuity management systems – Requirements (BCMS)


3.2.11 ISO 50001: Energy Management Systems – A practical guide for SMEs (EnMS)

3.2.12 ISO 37001: Anti-bribery management systems – Requirements with guidance for use (See Annex A)

3.2.13 ISO 55001: Asset management – Management systems – Requirements (See Annex B)

4. REQUIRED BASIC INFORMATION

4.1 Applicant Management System: Certification bodies must provide the following when seeking a quote for accreditation:

- IAS Pre-application form
- Formal application through IAS portal, https://portal.iasonline.org/get-a-quote/
4.2. **Applicant Management System:** Certification bodies must provide the following prior to IAS scheduling of an initial onsite assessment:

4.2.1 IAS application form and associated fee

4.2.2 **Proposed Final scope request**

4.2.3 Quality documentation Manual and associated procedures

4.2.4 List of all auditors and decision makers, including information on the IAF codes, categories or technical areas approval for which listed individuals have demonstrated competence

4.2.5 List of all certified customers

4.2.6 **List of entities operating on behalf of the certification body (this includes branch offices, franchisees, subcontractors, etc.) Planned audit schedule for the year**

4.2.7 **List of countries in which certifications have been issued**

4.3. **Management System:** Certification bodies must provide the following prior to IAS onsite assessment:

4.3.1 Schedule and information for witness audits to be conducted

4.3.2 Auditor documents (confidentiality/impartiality agreement, contract, competence evaluation)

4.3.3 Audit program (full certification cycle)

4.3.4 Audit plan (specific to audit being witnessed)

4.3.5 Stage 1 results (if applicable)

4.3.6 Logistical arrangements (e.g., for travel, accommodation) for assessment team

4.3.7 Updated quality documentation and associated procedures

5. **ADDITIONAL INFORMATION (AS APPLICABLE)**

5.1. All requested scopes must be in the format used in the IAS MSCB pre-application form.

5.2. The following supplemental Additional standards and guidelines will be used when performing assessments of the respective certification disciplines as listed in Annex A and Annex B (Glossary). These publications refer to current editions (unless otherwise stated).

5.2.1 ISO 9001: Quality management systems — Requirements (QMS)

5.2.2 ISO 14001: Environmental management systems — Requirements with guidance for use (EMS)
5.2.3 OHSAS 18001: Occupation health and safety management systems – Requirements (OHSMS)
- No supplemental standards or guidelines

5.2.4 ISO 20000-1: Information technology – Service management – Part 1: Service management system requirements (ITSMS)
- No supplemental standards or guidelines

5.2.5 ISO 22000: Food safety management systems – Requirements for any organization in the food chain (FSMS)
- ISO/TS 22003, Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems

5.2.6 FSSC 22000: Food Safety System Certification (FSSC)

5.2.7 ISO 22301: Societal security – Business continuity management systems – Requirements (BCMS)
- ISO/IEC TS 17021-6, Conformity assessment – Requirements for bodies providing audit and certification of business continuity management systems

5.2.8 ISO/IEC 27001: Information technology – Security techniques – Information security management systems – Requirements (ISMS)
- ISO/IEC 27006, Information technology – Security techniques – Requirements for bodies providing audit and certification of information security management systems

5.2.9 ISO 13485: Medical devices – Quality management systems – Requirements for regulatory purposes (MDQMS)
- No supplemental standards or guidelines

5.2.10 ISO 14065: Greenhouse gases – Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition (GGVV)

5.2.10.1 ISO 14064-1, Greenhouse gases - Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals

5.2.10.2 ISO 14064-2, Greenhouse gases - Part 2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emissions reductions or removal enhancements

5.2.10.3 ISO 14064-3, Greenhouse gases - Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions
5.2.10.4 ISO 14066: Greenhouse gases – Competence requirements for greenhouse gas
validation teams and verification teams

5.2.11 ISO 50001: Energy Management Systems – A practical guide for SMEs (EnMS)
• No supplemental standards or guidelines

5.2.12 ISO 37001: Anti-bribery management systems – Requirements with guidance for use
• ISO/IEC TS 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.

5.2.13 ISO 55001, Asset management – Management systems – Requirements
• ISO/IEC TS 17021-5, Conformity assessment – Requirements for bodies providing
  audit and certification of management systems – Part 5: Competence requirements
  for auditing and certification of asset management systems.

6. LINKS TO ADDITIONAL REFERENCES


6.2. International Accreditation Forum (IAF) – www.iaf.nu


6.4.5 Asia Pacific Accreditation Cooperation (APAC) - TBD

These criteria were previously issued June 2013, February 2014, February 2015, and February 2016 and April 2017.
<table>
<thead>
<tr>
<th>Program Status</th>
<th>IAS Abbreviation</th>
<th>Main Standard</th>
<th>Additional Accreditation Level Document(s)</th>
<th>Certification Standard(s)</th>
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<tbody>
<tr>
<td></td>
<td>FSSC (Food System)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>ISO/Ts 22003:2013</td>
<td>FSSC 22000 V.4.1</td>
</tr>
<tr>
<td></td>
<td>MED-QMS (Medical Quality)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>N/A</td>
<td>ISO 13485:2003</td>
</tr>
<tr>
<td>New/Pilot</td>
<td>LS-ET-SP (Learning Services)</td>
<td>ISO/IEC 17021-1:2015</td>
<td>N/A</td>
<td>ISO 29990:2010</td>
</tr>
</tbody>
</table>
Annex B

Glossary

- ISO 9001: Quality management systems — Requirements
  - ISO/IEC 17021-3: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 3: Competence requirements for auditing and certification of quality management systems

- ISO 14001: Environmental management systems — Requirements with guidance for use
  - ISO/IEC 17021-2: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems

- OHSAS 18001: Occupational health and safety management systems - Requirements

- ISO 45001: Occupational health and safety management systems — Requirements with guidance for use
  - ISO/IEC TS 17021-10: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 10: Competence requirements for auditing and certification of occupational health and safety management systems

- ISO 22000: Food safety management systems — Requirements for any organization in the food chain
  - ISO/TS 22003: Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems

- FSSC 22000: Food safety management systems — Requirements for any organization in the food chain (Food Safety System Certification Scheme 4.1)
  - ISO/TS 22003: Food safety management systems — Requirements for bodies providing audit and certification of food safety management systems

- ISO/IEC 27001: Information technology — Security techniques — Information security management systems — Requirements
  - ISO/IEC 27006: Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems

- ISO/IEC 20000-1: Information technology — Service management — Part 1: Service management system requirements
  - ISO/IEC 20000-6: Information technology — Service management — Part 6: Requirements for bodies providing audit and certification of service management systems

- ISO 22301: Societal security — Business continuity management systems --- Requirements
• ISO/IEC TS 17021-6: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 6: Competence requirements for auditing and certification of business continuity management systems

• ISO 13485: Medical devices — Quality management systems — Requirements for regulatory purposes

• ISO 50001: Energy management systems — Requirements with guidance for use
  o ISO 50003: Energy management systems — Requirements for bodies providing audit and certification of energy management systems

• ISO 37001: Anti-bribery management systems — Requirements with guidance for use
  o ISO/IEC TS 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

• ISO 14065: Greenhouse gases — Requirements for greenhouse gas validation and verification bodies for use in accreditation or other forms of recognition
  o ISO 14066: Greenhouse gases — Competence requirements for greenhouse gas validation teams and verification teams
  o ISO 14064-1: Greenhouse gases — Part 1: Specification with guidance at the organization level for quantification and reporting of greenhouse gas emissions and removals
  o ISO 14064-2: Greenhouse gases — Part 2: Specification with guidance at the project level for quantification, monitoring and reporting of greenhouse gas emission reductions or removal enhancements
  o ISO 14064-3: Greenhouse gases — Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions

• ISO 55001: Asset management — Management systems — Requirements
  o ISO/IEC TS 17021-5: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 5: Competence requirements for auditing and certification of asset management systems

• ISO 29990: Learning services for non-formal education and training — Basic requirements for service providers

• ISO 20121: Event sustainability management systems — Requirements with guidance for use
  o ISO/IEC TS 17021-4: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 4: Competence requirements for auditing and certification of event sustainability management systems

• ISO 39001: Road traffic safety (RTS) management systems - Requirements with guidance for use
• ISO/IEC TS 17021-7: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 7: Competence requirements for auditing and certification of road traffic safety management systems

• ISO 37101: Sustainable development in communities — Management system for sustainable development — Requirements with guidance for use

• ISO/IEC WD TS 17021-8 (currently under development): Conformity assessment -- Requirements for bodies providing audit and certification of management systems -- Part 8: Competence requirements for auditing and certification of management systems for sustainable development in communities

• ISO 41001: Facility management — Management systems — Requirements with guidance for use

• ISO/IEC DTS 17021-11 (currently under development): Requirements for bodies providing audit and certification of management systems -- Part 11: Competence requirements for auditing and certification of Facility Management Systems
Annex A

ISO 37001, Anti-bribery management systems

Introduction
ISO 37001:2016 is applicable only to bribery. It sets out requirements and provides guidance for a management system designed to help an organization to prevent, detect and respond to bribery and comply with anti-bribery laws and voluntary commitments applicable to its activities.

Scope of Requirements
ISO 37001 addresses the following in relation to the organization's activities:
- Bribery in the public, private and not-for-profit sectors;
- Bribery by the organization;
- Bribery by the organization's personnel acting on the organization's behalf or for its benefit;
- Bribery by the organization's business associates acting on the organization's behalf or for its benefit;
- Bribery of the organization;
- Bribery of the organization's personnel in relation to the organization's activities;
- Bribery of the organization's business associates in relation to the organization's activities;
- Direct and indirect bribery (e.g., a bribe offered or accepted through or by a third party).

ISO 37001 does not specifically address fraud, cartels and other anti-trust/competition offences, money-laundering or other activities related to corrupt practices, although an organization can choose to extend the scope of the management system to include such activities.

Benefits
ISO 37001 specifies a series of measurable processes to help organizations do the following:
- Prevent, detect and address bribery
- Risk assessments
- Appointing a person to oversee anti-bribery compliance
- Implementing financial and commercial controls
- Plan training
- Establishing reporting and investigation procedures
- Conduct due diligence on projects and business associates

Designed to help organizations implement an anti-bribery management system, or enhance the controls to reduce the risk of bribery occurring and provide confidence to stakeholders that internationally recognized good-practice anti-bribery controls are in place.
Annex B

ISO 55001, Asset management

Introduction

Assets and its derived value are the basis for any organization. This may be public or private sector and whether the assets are physical, financial, human or ‘intangible,’ good asset management could maximize value for money and satisfaction of stakeholders’ expectations. Asset management is a systematic process of deploying, operating, maintaining, upgrading and disposing of assets cost-effectively.

Some examples are as follows:

1. In financial asset management, the management of investment managers managing pension funds
2. In engineering environment:
   a. Practice of managing assets to achieve the greatest return, particularly useful for productive assets such as plant and equipment,
   b. Process of monitoring and maintaining facilities systems, with the objective of providing the best possible service to users.

Scope of Requirements

- Understand the organization
- Understand the needs and expectations of stakeholders
- Determine the scope of the asset management system
- Leadership and commitment/policy/organizational roles, responsibilities and authorities
- Actions to address risks and opportunities for the asset management system
- Asset management objectives, and planning to achieve them
- Resources/competence/awareness/communication
- Information requirements
- Documented information
- Operational planning and control
- Management of change
- Outsourcing
- Performance evaluation
- Continual improvement

Benefits

The measurable results of an effective asset management will help organizations to:

- Align processes, resources and functional contributions (instead of departmental silos, short-term priorities).
- Create transparent audit trails for what is done, when and why.
- Better understand and use of data and information to provide informed and consistent decisions.
- Improve planning (especially capital expenditure).
- Consistently, prioritized and audit risk management.
- Align and coordinate existing initiatives, including competency development.
- Engage the workforce, including leadership, communications and cross-disciplinary teamwork.