

Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



Certification Regulation for Anti-bribery MS

Standard or Certification scheme:

ISO 37001:2016

Accreditation Standard:

ISO 17021-1:2015

Certification Cycle:

The certificate is valid for three years. To maintain the validity of the certificate, annual surveillance audits shall be carried out. Before the expiration date of the certificate, a recertification audit is conducted in order to renew the validity of the certificate for the next three year cycle.

The certification audit is carried out in two stages. The interval between the two stages shall not exceed six months. If this period elapses or significant changes occur that affect the MS, stage 1 must be repeated. Stage 1 audit findings may lead to postponement or cancellation of Stage 2.

Audit planning and time table. Surveillance audit process has to be completed annually, with due date the date of the certification decision after the Initial Certification audit. Correspondingly the re-certification audit process has to be completed within the same time frame. Example:

Certification Decision	1st Surveillance audit	2nd Surveillance	Re-certification audit
15/7/2020	15/7/2021	15/7/2022	15/7/2023

In case of exceeding time limits certificate is suspended for six months and after this period finally withdrawn.

In recertification audits, a stage 1 may be conducted when there have been significant changes in the management system or in the framework within which it operates (eg changes in legislation), and the client.

Exclusions of scope:

Certification is issued to only one legal entity and includes all sites, branches, activities and processes effectively undertaken by the organization. Exclusions of processes / personnel involved in the same country are not accepted. It is possible to limit application to specific countries, but the scope of application shall always include sensitive processes (eg. finance and control, commercial, agents and sales network, procurement) undertaken abroad when undertaken under the responsibility and direct control of the organization (e.g. representative offices or branches or mediators). In cases of groups of companies, when sensitive activities/processes are performed by other companies in the group (head of the group and/or controlled) also abroad, there shall be anti-bribery controls implemented by the controlled companies and by business associates.

Information requirements:

A certified organization shall promptly inform TÜV AUSTRIA if it becomes involved in any critical situation which could compromise the guarantees of the certification of the system. The organization shall also promptly inform TÜV AUSTRIA of any matter or occurrence related to situations of bribery which may have involved any member/s of its staff, and of the resulting actions taken to contain the effects of such occurrences, including an analysis of the causes and the relative corrective actions.

Critical Situations:

TÜV AUSTRIA can perform un-announced, short notice audits or other appropriate investigation activities, if it is informed, directly from the organization or from other sources, that the organization is involved in or has responsibilities regarding a scandal or legal case involving bribery. The result of these investigations may lead to suspension or withdrawal of the certificate or increase of audit activities.

Audit Evaluation

1: Full conformity

3: Non Conformity (-ies): Correction through the submission of Documents

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Criteria / Characterization of Non Conformities:	2: (O): Points of Improvement, the effectiveness of the corrective actions are evaluated during the next audit	4: Non Conformity (-ies): Correction through Re-audit
Time allowed to close Non Conformities:	Certification Audit: 2 months after the completion of stage 2. Surveillance Audit: 2 months after the date of the audit or no later than the due date of the Certification Decision Recertification Audit: 2 months after the date of the audit or no later than the due date of the Certification Decision	
Contractual Duration:	<p>The duration of the service and the contractual obligation comes into force upon signature by both parties (TÜV AUSTRIA and Client Organization) and is valid for (3) three years of the relevant offer in cases of initial certification or re - certification.</p> <p>In case of Accredited Certification Transfer, the duration covers the validity period of the transferred certificate.</p> <p>In case of transition to a new version of the standard, the duration of contractual obligation is valid until the certification expiry date mentioned on the relative paragraph of the regulation.</p>	