

TR ISO/IEC TS 17021-9:2022
ISO/IEC TS 17021-9:2016, IDT
(ICS 03.100.01; 03.120.20)

TECHNICAL REFERENCE

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

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Published by Enterprise Singapore

**Enterprise
Singapore**



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ISBN 978-981-5042-28-3

National Foreword

This Technical Reference (TR) was prepared by the Working Group on Management Systems and Others set up by the Technical Committee on Conformity Assessment (CASCO) under the purview of the Quality and Safety Standards Committee.

This TR is an identical adoption of ISO/IEC TS 17021-9:2016, “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”, published by the International Organization for Standardization and the International Electrotechnical Commission.

NOTE 1 – Where appropriate, the words “Technical Specification / Report” are read as “Technical Reference”.

NOTE 2 – Reference to International/Overseas Standards are replaced by applicable Singapore Standards or Technical References.

This TR is a provisional standard made available for application over a period of three years. The aim is to use the experience gained to update the TR so that it can be adopted as a Singapore Standard. Users of the TR are invited to provide feedback on its technical content, clarity and ease of use. Feedback can be submitted using the form provided in the TR. At the end of the three years, the TR will be reviewed, taking into account any feedback or other considerations, to further its development into a Singapore Standard if found suitable.

Attention is drawn to the possibility that some of the elements of this TR may be the subject of patent rights. Enterprise Singapore shall not be held responsible for identifying any or all of such patent rights.

NOTE

- 1. Singapore Standards (SSs) and Technical References (TRs) are reviewed periodically to keep abreast of technical changes, technological developments and industry practices. The changes are documented through the issue of either amendments or revisions. Where SSs are deemed to be stable, i.e. no foreseeable changes in them, they will be classified as “Mature Standards”. Mature Standards will not be subject to further review, unless there are requests to review such standards.*
- 2. An SS or TR is voluntary in nature except when it is made mandatory by a regulatory authority. It can also be cited in contracts making its application a business necessity. Users are advised to assess and determine whether the SS or TR is suitable for their intended use or purpose. If required, they should refer to the relevant professionals or experts for advice on the use of the document. Enterprise Singapore and the Singapore Standards Council shall not be liable for any damages whether directly or indirectly suffered by anyone or any organisation as a result of the use of any SS or TR. Although care has been taken to draft this standard, users are also advised to ensure that they apply the information after due diligence.*
- 3. Compliance with a SS or TR does not exempt users from any legal obligations.*

TECHNICAL
SPECIFICATION

ISO/IEC
TS
17021-9

First edition
2016-10-15

**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**

*Évaluation de la conformité — Exigences pour les organismes
procédant à l'audit et à la certification des systèmes de
management —*

*Partie 9: Exigences de compétence pour l'audit et la certification des
systèmes de management anti-corruption*



Reference number
ISO/IEC TS 17021-9:2016(E)

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of conformity assessment, ISO and IEC develop joint ISO/IEC documents under the management of the ISO Committee on Conformity assessment (ISO/CASCO).

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

ISO/IEC/TS 17021-9 was prepared by Project Committee ISO/TC 278, *Anti-bribery management systems*, and the ISO Committee on conformity assessment (CASCO). It was circulated for voting to the national bodies of both ISO and IEC, and was approved by both organizations.

A list of all parts in the ISO/IEC 17021 series can be found on the ISO website.

Introduction

This document complements ISO/IEC 17021-1. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021-1:2015, Annex A. The guiding principles in ISO/IEC 17021-1:2015, Clause 4, are the basis for the requirements in this document.

Certification bodies have a responsibility to interested parties, including their clients and the customers of the organizations whose management systems are certified, to ensure that only those auditors who demonstrate relevant competence are allowed to conduct anti-bribery management system (ABMS) audits. It is intended that all ABMS auditors possess the generic competencies described in ISO/IEC 17021-1, as well as the specific ABMS competencies described in this document. Certification bodies will need to identify the specific audit team competence needed for the scope of each ABMS audit.

In this document, the following verbal forms are used:

- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2

For the purposes of research, users are encouraged to share their views on this document and their priorities for changes to future editions. Click on the link below to take part in the online survey:

<https://www.surveymonkey.com/r/YJQCHGZ>

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

1 Scope

This document complements the existing requirements of ISO/IEC 17021-1. It includes specific competence requirements for personnel involved in the certification process for anti-bribery management systems (ABMS).

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO 37001:2016, *Anti-bribery management systems — Requirements with guidance for use*