

CERTIFICATION PROCEDURE of ISO 37001



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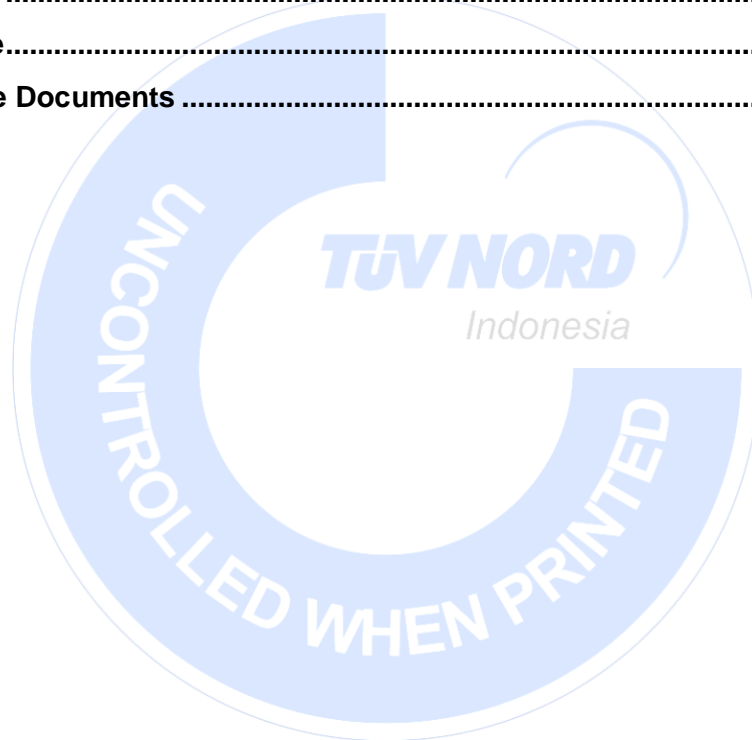
CERTIFICATION PROCEDURE of ISO 37001

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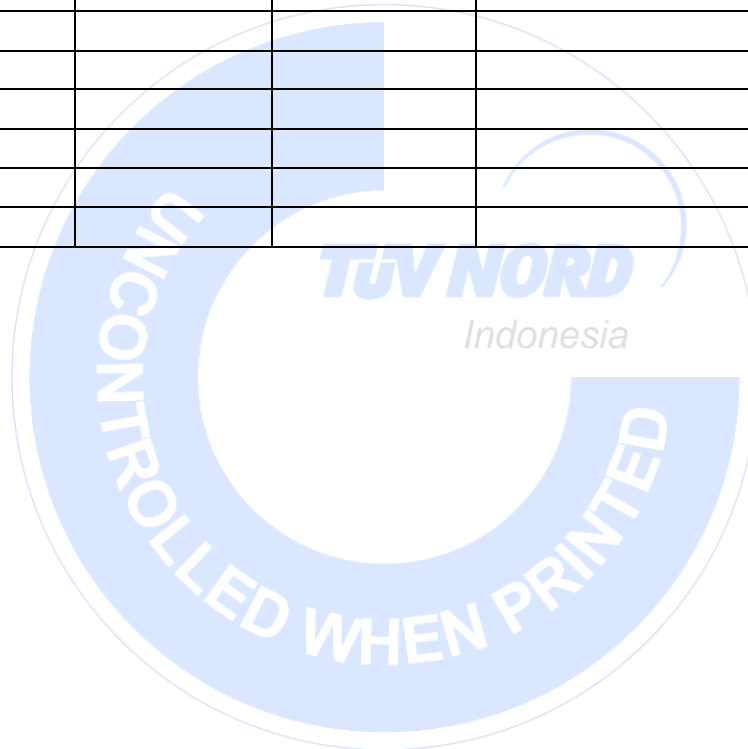
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Revision Sheet

Number	Revision Number	Revision Date	Section Number	Revision Notes



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1. Purpose

This procedure describes the responsibilities and procedure for certification in accordance with ISO 37001. The certification process is divided into audit preparation, the performance of the certification audit and the award of certificate, surveillance and recertification.

These procedures ensure that certifications are carried out in accordance with uniform rules with regard to procedure, personnel and means of working, thus ensuring that equivalent, uniform certification is achieved.

2. Scope

The procedure is applicable for all positions and personnel involved in the ISO 37001 certification process.

3. Definitions

In general, the key words used in this procedure refers to the references in point 5.0 of this document

4. Responsibilities

The roles and responsibilities within the certification procedure are laid down in the Management System Certification procedure PMLF-TNI-02

5. Reference

- 5.1 MI-TNI-01, Manual Mutu
- 5.2 PMLF-TNI-02, Management System Certification Procedure
- 5.3 ISO/IEC 17021-1:2015, Conformity assessment – Requirements for bodies providing audit and certification of management system
- 5.4 [ISO/IEC 17021-9:2016, Competence requirements for auditing and certification of anti-bribery management systems](#)

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5.5 DPLS 28 Rev 00 Tahun 2017, *Persyaratan Khusus Untuk Lembaga Sertifikasi Sistem Manajemen Anti Penyuapan (LS SMAP)*

5.6 IAF-MD 5:2015 (Issue 3) : IAF Mandatory Documents for Determination of Audit Time of Quality and Environmental Management Systems

5.7 IAF-MD 11 : 2013 (Issued 1 Version 3) : IAF Mandatory Documents for the Application of ISO/IEC 17021 for Audits of Integrated Management System

6. Procedure

6.1 Customer Inquiry / Drafting of Offer

Refer to Management System Certification Procedure PMLF-TNI-02.

Sales shall require the applicant organization to provide detailed information concerning process lines and the number of shift in Questionnaire (FMLF-TNI-015). Information on the company is required for preparing the quotation (FMLF-TNI-074). To prepare the quotation the certification sales contacts the firm to be certified.

6.2 Audit Preparation

Refer to Management System Certification Procedure PMLF-TNI-02.

Certification scheme for Anti-Bribery Management System does not have scope for specific sector (*the list of scopes of certification which based on the statistical nomenclature for economic activities e.g. NACE code is not applied*).

The approval of the audit team and the audit time is using existing A Team Approval Form (FMLF-TNI-008 A Team approval). On the existing form there is no option for ISO 37001:2016, thus the selected standard is ISO 14001 with “Low Risk” Category with inserted note that indicate the ATEA is for ISO 37001 (Figure 1.). In case if an ISO 37001’s client is certified for integrated systems with one of the other certified standard is ISO 14001 standard, 2 (two) forms of FMLF-TNI-008 shall be used, one form for ISO 37001 and one form for ISO 14001 (plus other standard which already accommodated within the existing A TEAM form). The final

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Man-days audit shall be calculated manually according to IAF-MD 11:2013 and shall be approved by the Head of CB/delegated auditor by the Head of CB as in PL-TNI-001 Rev 2 Annex 1 (EMS).

Only those auditors may be employed who have the appropriate approval for the product and service category which has been identified for the company to be audited. If an auditor does not have the relevant approval for ABMS, technical experts can be employed as necessary on the stage 1 until stage 2 audits but operate under the direction of a lead auditor and do not unduly influence the audit. The auditor will receive his appointment with notes on the customer and the regulations on which the certification is based.

Organization (full name)					
offizielle Registriernummer der IHK oder gleichwertige offizielle Unternehmensregistrierung <i>official registration number in Chamber of Commerce or similar formal business registration</i>					
<div style="border: 1px solid black; padding: 2px; display: inline-block;"> TUV - Karlina Bone: ISO 37001:2016 Client </div>					
Standard	Art	Relevanz	Ausschlüsse	ARD	Zertifikat gültig bis
Standard	Art type	Relevance	Exclusions		Certificate valid until
ISO 14001	Zertifizierung/ Certification	G / Low			

Figure 1 ATEA FORM

Auditor in training may participate in the audit. Senior auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor in training.

6.3 Audit Stage 1

Refer to Management System Certification Procedure PMLF-TNI-02.

The report of audit stage 1 using form **FMLF-TNI-009 Audit Report stage 1**.

6.4 Audit Planning

Refer to Management System Certification Procedure PMLF-TNI-02.

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Lead Auditor produces the audit plan. This includes all the requirements to be examined such as ISO 37001 standard and anti-bribery regulations (FAB-TNI-002), the relevant processes and organisational units of the company to be audited and a schedule for the audit.

Note: In principle audit plans for audit stage 1 and audit stage 2 should be produced using these forms: [FMLF-TNI-007A Audit plan stage 1](#) and [FMLF-TNI-007B Audit plan stage 2](#).

6.5 Audit Stage 2

Refer to Management System Certification Procedure PMLF-TNI-02.

The audit procedure is discussed in an introductory meeting. Following this, individual employees are interviewed and relevant documents, records, contracts, policies, etc are examined with the focus on anti-bribery management system. In addition, the deviations identified in audit stage 1 are evaluated.

Auditor shall provide written report for each audit the report shall be based on relevant guidance provided in ISO 19011. The audit team may identify opportunity for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintained by Administration.

The report of audit stage 2 using form **FMLF-TNI-010 Audit Report stage2**

6.6 Audit Finding

Refer to Management System Certification Procedure PMLF-TNI-02.

6.7 Certificate and Surveillance

6.7.1 Certificate Issue

Refer to Management System Certification Procedure PMLF-TNI-02.

6.7.2 Certificate

Refer to Management System Certification Procedure PMLF-TNI-02.

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ISO 37001 certificate shall identify in detail company's business processes which are included within the scope of certificate.

If required, PT TUV NORD Indonesia will release the issued certificate to competent authority based on the applicable regulations.

6.7.3 Surveillance Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

Inspection of documents will focus on those which have been amended. The surveillance audit must at least include the following:

- internal audits, management review
- action from previous audit
- handling of complaints
- checking effectiveness of ISO 37001
- continuous improvement
- statements on the management of the process
- amendments to the ISO 37001
- use of the logo

Surveillance and re-certification audits must be concluded within a window of +/- 90 days - calculated from the day of the initial certification.

6.8 Suspend and Withdrawn of Certificate

Refer to Management System Certification Procedure PMLF-TNI-02.

6.9 Recertification Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

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The recertification audit must be carried out before the certificate expires. All requirements will be audited. This includes inspection of the ISO 37001 documentation and an audit on site which will take into account the previous surveillance audits throughout the period of the certificate. Particular areas of focus are:

- The effectiveness of the interrelationship of all the processes in the ISO 37001 system
- The effectiveness of the ISO 37001 in its entirety with regard to internal and external amendments.
- Obligation to enhance the effectiveness and constantly improve the ISO 37001.

Whether the ISO 37001 in practice actually contributes to the realisation of company policy and aims / vision.

6.10 Expanding / Reduction Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

If the scope of the existing certificate is to be extended this can be achieved with an extension audit. The extension audit can be carried out as part of a surveillance audit, recertification audit or at a time on its own. This does not affect the period of validity of a certificate.

6.11 Short - Notice Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

6.12 Transfer of certificates from other Certification Bodies

Refer to Management System Certification Procedure PMLF-TNI-02.

6.13 Multisite Certification

Multisite certification for ISO 37001:2016 as per DPLS 28 year 2017 is not applicable.

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6.14 Operational Control

Refer to Management System Certification Procedure PMLF-TNI-02.

6.15 Integrated Management System

6.15.1 Audit of Integrated Management System is an audit of an organization's management system against two or more sets of audit criteria/standards conducted at the same time. The ISO 37001 audit can be combined with audits of other management systems (*ISO 9001 and ISO 14001*). All the elements important to an ISO 37001 shall appear clearly, and be readily identifiable, in the audit reports.

Audit plans cover all areas and activities applicable to each management system standard/specification covered by the scope of the audit and are addressed by competent auditor(s).

6.15.2 The audit team as a whole shall satisfy the competence requirements, for each technical area, as relevant for each management system standard/specification covered by the scope of the audit of an IMS (Integrated Management System).

6.15.3 The audit shall be managed by a team leader, competent in at least one of the audited standards/specifications.

6.15.4 To determine the audit time for an audit of an IMS covering two or more management system standards e.g. A + B + C, calculate the required audit time for each management system standard separately (applying all relevant factors provided for by the relevant application documents and/or scheme rules for each standard, e.g., IAF MD5, ISO/TS 22003, ISO/IEC 27006);

6.15.5 Calculate the starting point T for the duration of the audit of the IMS by adding the sum of the individual parts (e.g. $T = A + B + C$)

6.15.6 Audit of an IMS could result in increased time, but where it results in reduction, it shall not exceed 20% from the starting point T. Reduction max 20% basically due to saving of time because of the jointly auditing of elements like company's policy,

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objectives and programmes, documentation, internal audits, corrective actions, management review as well as jointly performing the opening meeting, in-between summary and closing meeting,

6.15.7 The factors for reduction shall include but are not limited to:

- a. The extent to which the organization's management system is integrated;
- b. The ability of the organization's personnel to respond to questions concerning more than one management systems standard; and
- c. The availability of auditor(s) competent to audit more than one management system standard/specification.

6.15.8 The factors for increases shall include but are not limited to:

The complexity of the audit of an IMS compared with single management system audits.

6.15.9 The starting point figure and justification for increase or reduction shall be documented.

6.15.10 All applicable requirements of each management system standard/specification relevant to the scope of the IMS shall be audited.

6.15.11 Audit reports can be integrated or separate, with respect to the management systems audited. Each finding raised in an integrated report shall be traceable to the applicable management system standard(s)/specification(s).

7. Applicable Documents

- 7.1 PMLF-TNI-002 Management System Certification Procedure
- 7.2 PL-TNI-001 Rev 2 Annex 1 Reference values for the calculation of quotations Management System Certification ISO 14001
- 7.3 FMLF-TNI-015 rev.04 Questioner-Application for Certification of MS
- 7.4 FMLF-TNI-007A Audit plan stage 1
- 7.5 FMLF-TNI-007B Audit plan stage 2.
- 7.6 FMLF-TNI-009 Audit Report stage 1.
- 7.7 FMLF-TNI-010 Audit Report stage 2.

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7.8 FMLF-TNI-074 rev 04 Quotation form and its annexes.

