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**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/T 27021.9-2021

**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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Foreword

This document is in accordance with the provisions of GB/T 1.1-2020 "Guidelines for Standardization Work Part 1. Structure and Drafting Rules of Standardization Documents"

Drafting.

This document is part 9 of GB/T 27021 "Requirements for Conformity Assessment Management System Audit and Certification Bodies". GB/T 27021 has

Publish the following 9 parts.

---Part 1. Requirements;

---Part 2. Environmental management system audit and certification capability requirements;

- Part 3.Requirements for quality management system audit and certification capabilities;
- Part 4.Sustainability management system audit and certification capability requirements for large-scale events;
- Part 5.Requirements for asset management system audit and certification capabilities;
- Part 6.Requirements for business continuity management system audit and certification capabilities;
- Part 7.Requirements for road traffic safety management system audit and certification capabilities;
- Part 9.Anti-bribery management system audit and certification capability requirements;
- Part 10.Occupational Health and Safety Management System Audit and Certification Ability Requirements.

The translation method used in this document is equivalent to the ISO /IEC TS17021-9.2016 "Requirements for Conformity Assessment Management System Audit and Certification Bodies"

Part 9.Anti-bribery management system audit and certification capability requirements".

1 Scope

This document specifies the specific competence requirements for personnel participating in the anti-bribery management system (ABMS) audit and certification process.

Supplement to the existing requirements of GB/T 27021.1.

2 Normative references

The contents of the following documents constitute the indispensable clauses of this document through normative references in the text. Among them, dated quotations

Only the version corresponding to that date is applicable to this document; for undated reference documents, the latest version (including all amendments) is applicable to

This document.

GB/T 27021.1-2017 Conformity Assessment Management System Audit and Certification Bodies Requirements Part 1.Requirements (ISO /IEC

17021-1.2015, IDT)

ISO 37001.2016 Anti-bribery management system requirements and guidelines for use (Anti-bribery management systems-

Requirementswithguidanceforuse)

3 Terms and definitions

The terms and definitions defined by ISO 37001 and GB/T 27021.1 apply to this document.

4 General competency requirements

The certification body shall determine the competence requirements for each certification function described in Table A.1 of GB/T 27021.1-2017. In determining these capabilities

When force requirements, the certification body should consider all the requirements of GB/T 27021.1, as well as the requirements specified in Chapter 5 and Chapter 6.

Note 1. Appendix A provides a summary of the competence requirements of personnel for specific certification functions.

Note 2. GB/T 19011 provides information on audit principles.

5.1 General

The personnel engaged in the ABMS audit should have certain abilities, including the general abilities described in GB/T 27021.1, understanding

The relationship between the requirements of ISO 37001 and these requirements, as well as the knowledge of ABMS described in 5.2~5.8.

Note. Each member of the audit team does not have to have the same ability, but the overall ability of the audit team needs to be sufficient to achieve the purpose of the audit.

5.2 The concept of bribery

5.2.1 The audit team should have knowledge related to the concept of bribery, including at least the following.

- a) Direct and indirect payments;
- b) Facilitation payment;
- c) Non-financial benefits or benefits (such as benefits or opportunities provided to family members);
- d) Conflict of interest.

5.2.2 The audit team should have knowledge of bribery risks related to third parties, including public officials, agents, consultants, subcontractors, and

Its family members or social relations, etc.

5.2.3 The audit team should have at least knowledge of bribery related to the following situations.

- a) Personnel, recruitment, hiring and compensation;
- b) Commercial activities;
- c) travel, gifts and entertainment;
- d) Donations and sponsorships;
- e) Procurement and contracting;
- f) Sales and marketing;
- g) Manufacturing and supply chain;
- h) outsourcing process;
- i) Mergers and acquisitions.

5.2.4 The audit team should have knowledge about bribery risk points (red flags).

Note. The list of bribery risk points (red flags) can be obtained from the International Chamber of Commerce (ICC), the Organization for Economic Cooperation and Development (OECD) and the World Bank.

5.2.5 The audit team shall have control measures for preventing, detecting and responding to bribery, as well as relevant control measures related to the consequences of insufficient control measures or loss of control.

Knowledge.

5.3 Organizational environment

5.3.1 The audit team should have knowledge of the organization's operating environment, including those required by Chapter 4 of ISO 37001.2016.

5.3.2 The audit team should have the necessary knowledge and skills to independently conduct organization-related research, so as to identify and understand

Bribery allegations or matters, industry bribery risks, government interaction or degree of supervision and other related matters.

5.3.3 The audit team should have knowledge related to the organizational structure, such as mergers and acquisitions, joint ventures and investment tools.

5.4 Laws, regulations and other requirements

The audit team should have relevant knowledge to determine whether the organization's compliance procedures are adequate and implemented. This procedure is used to identify and evaluate the team.

Whether the organization complies with applicable laws and regulations and other