

**TITLE :**  
**UNDERSTANDING & INTERNAL AUDITING**  
**ABMS**

**DATE :**  
**19-20 FEB 2025**

**ORGANIZATION :**  
**JABATAN BOMBA DAN PENYELAMAT**  
**MALAYSIA**

**PRESENTED BY:**  
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# ISO 9001:2015 & ISO 37001:2016 UNDERSTANDING & IMPLEMENTATION

NURUL IZZA JAY BT JALANI  
Trainer / Consultant

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## TRAINING PROGRAMME

0900 - 1030 am	Introduction to ISO 9001:2015 & ISO 37001:2016
1030 - 1045 am	Morning Break
1045 - 1245 pm	Understanding of ISO 9001:2015 & ISO 37001:2016 requirements (Clause 4 & 5)
1245 - 0200 pm	Lunch & Zohor Prayer
0200 - 0330 pm	Understanding of ISO 9001:2015 & ISO 37001:2016 requirements (Clause 6 & 7)
0330 - 0345 pm	Tea Break
0345 - 0430 pm	Understanding of ISO 9001:2015 & ISO 37001:2016 requirements (Clause 8, 9 & 10)

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## COURSE OBJECTIVES



1. To provide understanding on the general concept of Management System Standard, ISO 9001 (QMS) and ISO 37001 (ABMS)
2. To provide awareness on the overall requirements of ISO 9001:2015 & ISO 37001:2016 and its application

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## INTRODUCTION OF ISO 9001:2015 (QMS)

- First published in 1987, ISO 9001 has consistently been ISO's most popular series of standards.
- ISO technical committee ISO/TC 176, Quality Management System and Quality Assurance, subcommittee SC 2, Quality System has successfully developed the latest version of quality management system requirements, i.e. ISO 9001:2015.



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## WHAT IS ISO 9001

- ISO = International **O**rganization for **S**tandardization
- Quality Management System standard
- Applies to any organization (manufacturing and service)
- Internationally recognized & accepted
- Tells you **what must** be done but **not how**
- Guidance on controlling necessary activities
- Focus on meeting the requirements of customer

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## HISTORY OF ISO 9000

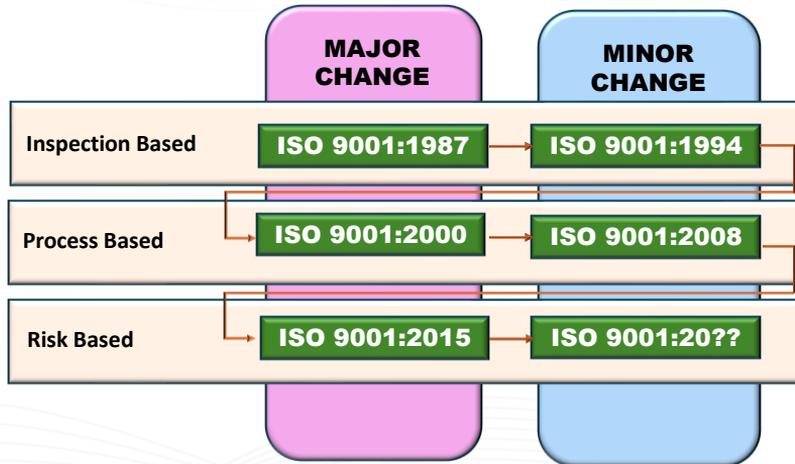
- **1979** - British Standard Institution (BSI) publish BS 5750 on quality management
- **1986** - BS 8402 - Quality Vocabulary and definition was published
- **1987** - BS 5750 was adopted to ISO 9000:1987
- **1994** - ISO 9000:1994 was published
- **2000** - ISO 9001:2000 was published
- **2008** – Revision of ISO 9001:2008 was published
- **2015** – Revision ISO 9001:2015 was published 15<sup>th</sup> September 2015

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# BACKGROUND



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# ISO 9001:2015 INTERACTION



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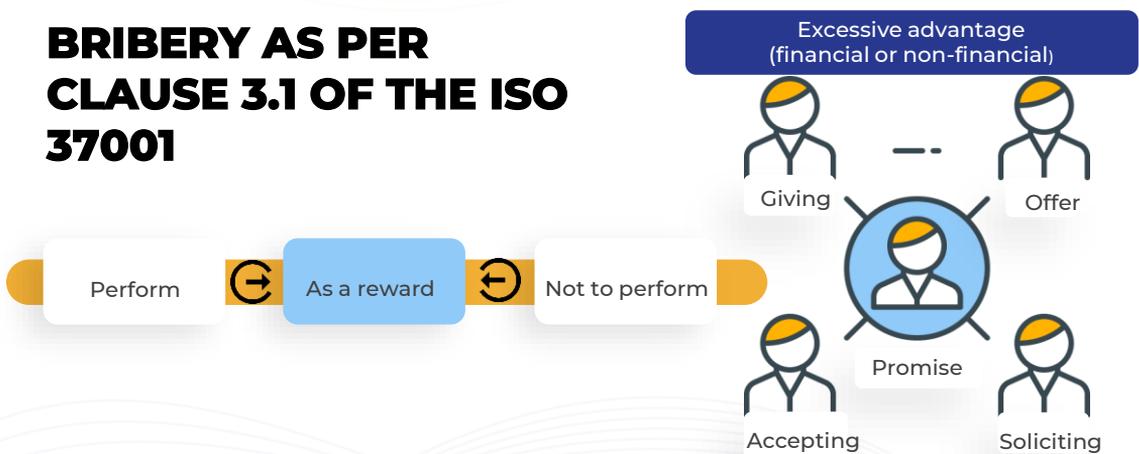
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## ISO 9001:2015

-  Used of HLS
-  Understand the context
-  Strengthen Process approach
-  Less emphasis on documentation
-  Risk Based thinking
-  Leadership

## INTRODUCTION OF ISO 37001:2016 (ABMS)

### BRIBERY AS PER CLAUSE 3.1 OF THE ISO 37001



## Terminologies

- Kickback, under counter payment, facilitation payment, grease money, tea/coffee money (Malaysia)
- Little envelope (Italy)
- Air supply (Uganda)
- Pungli - Pungutan Liar (Indonesia)
- 19.90 (US)
- Sleaze (UK)
- Black Mist (Japan)
- A jug of wine (France)

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## Forms of Corruption

- **Bribery** – the payment in money/kind that is given in a corrupt relationship. It has many names such as facilitating payments, pay-off, sweetener, grease money etc
- **Embezzlement** – when employees steal company resources they are hired to administrate; theft from workplace in the broadest sense

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## Forms of Corruption

- **Fraud** – when an employee (agent) who is responsible for carrying out orders or tasks assigned by his superiors (principal), manipulates the flow of information to his private benefit
- **Extortion** – money or other resources extracted by the use of coercion, violence or threats to use force

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## Forms of Corruption

- **Favouritism** – a mechanism of power abuse implying ‘privatisation’ and a highly biased distribution of state resources in order to favour friends, family or others related to the employees
- **Nepotism** – a special form of favouritism in which an office holder (ruler) prefers his proper kinfolk and family members

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# Forms of Corruption

- **Grand** – takes place on the higher levels of political authority and involves head of states, ministers and top officials who are in control of resources and legislations
- **Petty corruption** – or ‘bureaucratic’ corruption takes place on a low bureaucratic level and typically bribe takers are police officers, customs, taxing and licensing authorities

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## OFFENCES UNDER MACC ACT 2009

- |  |          |                                    |          |
|--|----------|------------------------------------|----------|
| <b>1</b> Demand / Receiving<br>– S 16a / 17a | <b>A</b> | <b>3</b> False claim<br>– S18      | <b>C</b> |
| <b>2</b> Offer / Giving<br>– S 16b / 17b     | <b>B</b> | <b>4</b> Misused of power<br>– S23 | <b>D</b> |

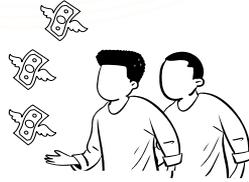


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**1** Imprisonment  
not more than  
20 years



**2** Penalty of 5x of  
bribery sum or  
minimum RM10,000  
which ever higher

For example :

If A accepting bribery sum of  
RM5,000, A maybe sentenced up  
to **20 years and penalty of  
RM25,000**

**Punishment Individual**

**Offences under  
Act 574 – Penal Code**

01 Bribery (S161-165)

02 Gifts (S213-215)

03 Extortion (S384-389)

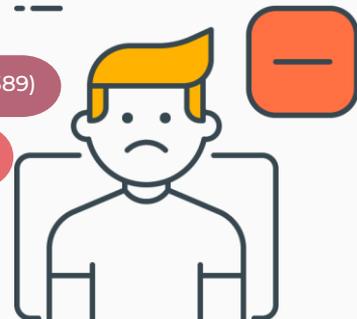
04 Embezzlement  
(S403-409)

05 Fraud (S417-420)

06 Forgery (S465-471)

**Punishment**

Imprisonment, or/and Penalty, or both





## Commercial Organization

**1**

A company incorporated under Co Act 2016 and which carries on business in Malaysia or elsewhere

**2**

A company wherever incorporated and carries on a business or part of a business in Malaysia

**3**

A partnership under the Partnership Act 1961 and carries on business in Malaysia or elsewhere, or

**4**

Which is limited liability partnership registered under Limited Liability Partnership Act 2012 and carries on business in Malaysia or elsewhere, or

**5**

A partnership wherever formed and carries on a business or part of business in Malaysia.



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Who is associated with Commercial Organization ??

An employee of the commercial organization

If he is a director, controller, officer, or partner

A person who performs services for on behalf of the CO (to be determine by reference to all relevant circumstances, not merely by reference to the nature of the relationship between him and the CO

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01

03



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Penalty of 10x of the bribery sum or minimum RM1,000,000 which ever higher

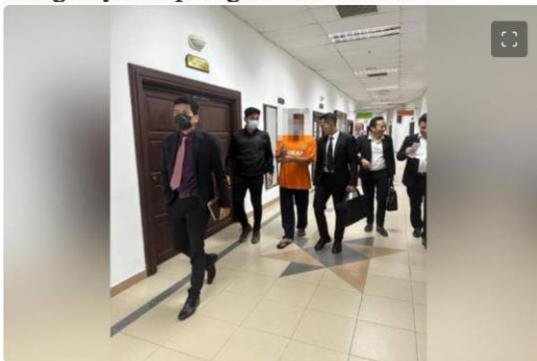
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Imprisonment not more than 20 years (or both)

**S17 A – Penalty**

**MACC detains deputy director for allegedly accepting RM3,000 bribe**

13/5/2023



A deputy director of a government department in Kuching, Sarawak is remanded until May 17 for allegedly receiving a bribe amounting to about RM3,000 in 2022.  
© Provided by Sinar Daily

**S**HAH ALAM - The Malaysian Anti-Corruption Commission (MACC) has remanded a deputy director of a government department over suspicion of accepting bribe amounting to RM3,000.

According to a source, the bribe was given by a company to secure a supplier job in a building located in the Sarawak district.

The source said the male suspect, who is in his 40s, was arrested at around 7pm yesterday at the Kuching MACC office when he came to give statement.

It is believed that the suspect, who is also a civil servant, committed the act in 2022.

"Magistrate Zaiton Anuar issued the remand order for four days starting today until May 17 at Kuching Magistrate's Court after MACC applied for it this morning," he said today.

Meanwhile, Sarawak MACC director Mohd Zaki Hassan confirmed the arrest when contacted and the case is being investigated under Section 17(a) of the MACC Act 2009.

## RM5m bribery: Former CEO of automotive institute claims trial



Monday, May 8th, 2023

**KUALA LUMPUR** – A former CEO of an automotive institute claimed trial in the Sessions Court here today to a charge of soliciting a bribe of RM5 million to help a company secure a training and work placement programme.

Datuk Mohamad Madani Sahari, 56, was alleged to have solicited the bribe from a 37-year-old man as an incentive to secure the RM24 million programme from Syarikat A2Z Technology Sdn Bhd which is a subsidiary company of Malaysia Automotive Robotics and IoT Institute (MARII).

The offence was allegedly committed at A2Z Technology Sdn Bhd office, Solaris Dutamas here, between 11am and 3pm, in May 2021.

The charge framed under Section 16(a)(A) of the Malaysian Anti-Corruption Commission (MACC) Act 2009, punishable under Section 24(1) of the same act, provides imprisonment of up to 20 years in prison, a fine of not less than five times the amount of the bribe or RM10,000 whichever is higher, if convicted.

Deputy public prosecutor Law Chin How urged the RM300,000 bail imposed on the accused by the Shah Alam Sessions Court earlier, be tied to the case today.

"The accused will be charged again in the same court with money laundering on May 10 and in the Alor Setar Sessions Court on May 24 and we will apply for the cases to be tried together at the Sessions Court here," he said.

Counsel Wan Aizuddin Wan Mohammed who represented Mohamad Madani agreed that the bail be tied to the earlier case.

Judge Suzana Hussin allowed the prosecution's application and set June 9 for mention of the case.

On April 14, Mohamad Madani was charged in the Shah Alam Sessions Court with accepting a bribe of RM5 million from an individual through a bank account as a reward for helping a company secure a contract worth RM12 million. – **Bernama / pic TMR File**

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## MACC nabs Kluang headmaster over RM10,000 bribery



Published on 2 May 2023 9:35PM

*The Kluang Malaysian Anti-Corruption Commission detains a headmaster for allegedly soliciting and accepting bribes from the school canteen operator as an inducement to approve claims for the Supplementary Food Programme. – The Malaysian Insight file pic, May 2, 2023.*

THE Malaysian Anti-Corruption Commission (MACC) has detained a headmaster of a school in Kluang for allegedly soliciting and accepting bribes amounting to more than RM10,000 last year.

Sources said the 56-year-old headmaster was detained at the Kluang MACC office at 10.30am today after giving his statement.

"It is learnt that the man had allegedly solicited and accepted bribes from the school canteen operator as an inducement to approve claims for the Supplementary Food Programme implemented last year," he said.

Johor MACC director Azmi Alias, when contacted, confirmed the arrest, saying that the case is being investigated under section 17(a) of the MACC Act 2009.

At press time, the man, however, has been released on MACC bail. – Bernama, May 2, 2023.



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# Judge allows transfer of ex-Perlis MB's false claims trial

The prosecution wants Azlan Man's case in Perlis to be combined with money laundering charges he is facing in Kuala Lumpur.

Bernama - 12 May 2023, 12:38pm

KANGAR: The sessions court here allowed former Perlis menteri besar Azlan Man's case involving five charges of submitting false claims amounting to RM1.185 million to be transferred to the Kuala Lumpur sessions court.

Justice Norsalha Hamzah made the decision today following an application by deputy public prosecutor Rehab Abdul Shukur, from the Malaysian Anti-Corruption Commission (MACC), after lawyer Burhanudeen Abdul Wahid, representing Azlan, did not object.

The prosecution applied for the five cases under Section 18 of the MACC Act 2009 to be combined and heard together with another five cases, framed under the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001, made against Azlan at the Kuala Lumpur sessions court.

The application, made under Section 165 of the Criminal Procedure Code, was on the grounds that all the cases involved the same witnesses and investigations.

On April 10, Azlan, 64, pleaded not guilty in the sessions court here to five charges of making false claims for a holiday in London amounting to more than RM1.185 million between 2013 and 2017 when there was no such trip made.



Azlan Man is facing five charges of making false claims for a holiday in London amounting to more than RM1.185 million between 2013 and 2017 when no such trip was made. (Bernama pic)

The charge was framed under Section 18 of the MACC Act 2009 and punishable under Section 24(2) of the same Act.

The section provides for imprisonment of up to 20 years and a fine of not less than five times the sum or value of the false claims involved or RM10,000, whichever is higher, upon conviction.

Two days later, Azlan was charged in the Kuala Lumpur sessions court with five counts of receiving proceeds from unlawful activities amounting to RM1.06 million. He pleaded not guilty to all the charges, and judge Azura Alwi set June 9 for mention.

Azlan was the Perlis menteri besar from 2013 to 2022. He was the Pauh assemblyman from 2013 to 2018. He won the Bintong state seat in 2018 but failed to defend the seat in the last general election in November 2022.

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# CEO of GLC detained by MACC for receiving bribe

By Iyah Hafiz Aziz - September 20, 2023 @ 5:35pm



A chief executive officer of a government-linked company (GLC) was arrested by the Malaysian Anti-Corruption Commission (MACC) after using her position to renovate a warehouse and supply furniture worth RM1.9 million. - NSTP/ASWADI ALIAS

KUALA LUMPUR: A chief executive officer of a government-linked company (GLC) was arrested by the Malaysian Anti-Corruption Commission (MACC) after using her position to renovate a warehouse and supply furniture worth RM1.9 million.

The woman in her 50s had also received money amounting to approximately RM300,000 which was deposited into her account.

The Kuala Lumpur MACC investigation division found that the renovation project was not implemented according to specifications.

According to sources, the suspect was believed to have used the name of another company. The actual contractor in the project was the suspect's own company.

"The result of the investigation also found that the suspect did not supply the furniture and the renovation of the warehouse was not in accordance with specifications set in the contract.

"In addition, a certain amount of money had been deposited into the suspect's account," said a source here today.

It is understood that the suspect was arrested at about 6.30pm yesterday (Sept 20) when she was asked to testify at the MACC office in Kuala Lumpur.

When contacted, Kuala Lumpur MACC director Datuk Mohamad Fauzi Husin confirmed the arrest and said the case was investigated under Section 16(a)(A) of the MACC Act 2009.

"The suspect was released on bail with one surety of RM50,000 after her statement was recorded," he said.

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# History of High-Level Structure

High level structure has been used for ISO document since 2012:

**ISO 22301:2012**, Societal security -- Business continuity management systems --- Requirements

**ISO 39001:2012**, Road traffic safety (RTS) management systems - Requirements with guidance for use

**ISO 20121:2012**, Event sustainability management systems -- Requirements with guidance for use

**ISO/IEC 27001:2013**, Information technology -- Security techniques -- Information security management systems -- Requirements

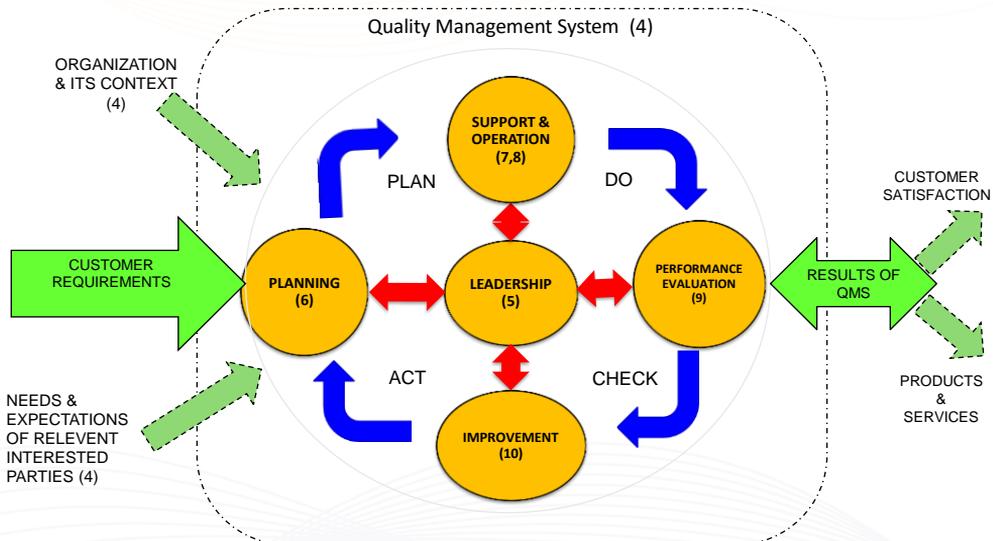
**ISO 55001:2014**, Asset management -- Management systems -- Requirements

**ISO 14001:2015**, Environmental management systems -- Requirements with guidance for use

**ISO 37001:2016**, Anti-bribery management systems

**ISO 45001:2018**, Occupational health and safety management systems -- Requirements with guidance for use

# PDCA CYCLE



# The Quality principles

ISO 9001:2015
QMP 1 : Customer Focus
QMP 2 : Leadership
QMP 3 : Engagement of People
QMP 4 : Process Approach
QMP 5 : Improvement
QMP 6 : Evidence-Based Decision Making
QMP 7 : Relationship Management

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PRINCIPLE	Clauses in ISO 37001
Top Level Commitment	C5
Risk Assessment	C4.5 AND C6.1
Undertake Control	C7.2.2 AND C8.1-8.10
Systematic Monitor, Review and Enforcement	C9
Training & Communication	C7.3 AND C7.4



# TRUST

Top Level Commitment

Risk Assessment

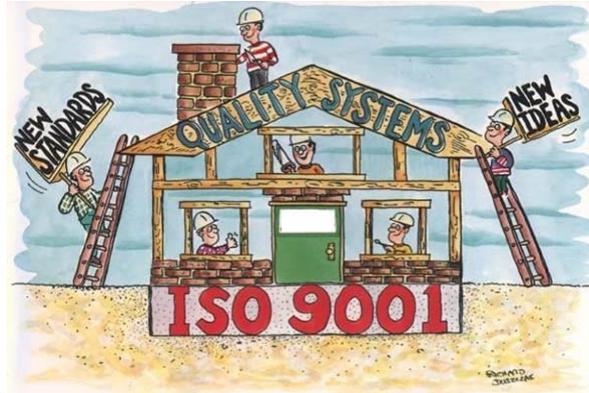
Undertake Control

Systematic Monitor, Review & Enforcement

Training and Communication

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## Structure of ISO 9001:2015 (1/3)

- 1 **Scope**
- 2 **Normative references**
- 3 **Terms and definitions**
- 4 **Context of the organization**
  - 4.1 Understanding the organization and its context
  - 4.2 Understanding the needs and expectations of interested parties
  - 4.3 Determining the scope of QMS
  - 4.4 Quality management system and its processes
- 5 **Leadership**
  - 5.1 Leadership and commitment
  - 5.2 Policy
  - 5.3 Organizational roles, responsibilities and authorities
- 6 **Planning for the QMS**
  - 6.1 Actions to address risks and opportunities
  - 6.2 Quality objectives and planning to achieve them
  - 6.3 Planning of changes

## Structure of ISO 9001:2015 (2/3)

### 7 Support

- 7.1 Resources
- 7.2 Competence
- 7.3 Awareness
- 7.4 Communication
- 7.5 Documented information

### 8 Operation

- 8.1 Operational planning and control
- 8.2 Requirements for products and services
- 8.3 Design and development of products and services
- 8.4 Control of externally provided processes, products and services
- 8.5 Production and service provision
- 8.6 Release of products and services
- 8.7 Control of nonconforming outputs

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## Structure of ISO 9001:2015 (3/3)

### 9 Performance evaluation

- 9.1 Monitoring, measurement, analysis and evaluation
- 9.2 Internal audit
- 9.3 Management review

### 10 Improvement

- 10.1 General
- 10.2 Nonconformity and corrective action
- 10.3 Continual improvement

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# ISO 37001:2016 REQUIREMENTS

1. Scope
2. Normative references
3. Terms and definitions
4. Context of the organisation
  - 4.1 Understanding the organisation and its context
  - 4.2 Understanding the needs and expectations of *stakeholders*
  - 4.3 Determining the scope of *ABMS*
  - 4.4 *ABMS*
  - 4.5 *Bribery risk assessment*
5. Leadership
  - 5.1 Leadership and commitment
    - 5.1.1 *Governing Body*
    - 5.1.2 *Top Management*
  - 5.2 *Anti-bribery policy*
  - 5.3 Organisational roles, responsibilities and authorities
    - 5.3.1 *Roles and Responsibilities*
    - 5.3.2 *Anti-bribery Compliance Function*
    - 5.3.3 *Delegated Decision Making*
6. Planning for the ABMS
  - 6.1 Actions to address risks and opportunities
  - 6.2 *Anti-bribery objectives* and planning to achieve them
7. Support
  - 7.1 Resources
  - 7.2 Competence
    - 7.2.1 *General*
    - 7.2.2 *Employment Process*
- 7.3 Awareness and *Training*
- 7.4 Communication
- 7.5 Documented information
8. Operation
  - 8.1 Operational planning and control
  - 8.2 *Due diligence*
  - 8.3 *Financial controls*
  - 8.4 *Non-financial controls*
  - 8.5 *Implementation of anti-bribery controls by controlled organisations and by business associates*
  - 8.6 *Anti-bribery commitments*
  - 8.7 *Gifts, hospitality, donations and similar benefits*
  - 8.8 *Managing inadequacy of anti-bribery controls*
  - 8.9 *Raising concerns*
  - 8.10 *Investigating & Dealing with bribery*
9. Performance evaluation
  - 9.1 Monitoring, measurement, analysis and evaluation
  - 9.2 Internal audit
  - 9.3 Management review
    - 9.3.1 *Top Management Review*
    - 9.3.2 *Governing Body Review*
  - 9.4 *Review by Anti-Bribery Compliance Function*
10. Improvement
  - 10.1 Non-conformity and corrective action
  - 10.2 Continual improvement

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# ISO 37001:ABMS Guidelines

- A.1 General
- A.2 **Scope of the anti-bribery management system**
  - A.2.1 **Stand-alone or integrated anti-bribery management system**
  - A.2.2 **Facilitation and extortion payments**
- A.3 Reasonable and proportionate
- A.4 Bribery risk assessment
- A.5 Roles and responsibilities of governing body and top management
- A.6 Anti-bribery compliance function
- A.7 Resources
- A.8 **Employment procedures**
  - A.8.1 **Due diligence on personnel**
  - A.8.2 **Performance bonuses**
  - A.8.3 **Conflicts of interest**
  - A.8.4 **Bribery of the organization's personnel**
  - A.8.5 **Temporary staff or workers**
- A.9 Awareness and training
- A.10 Due diligence
- A.11 Financial controls
- A.12 Non-financial controls
- A.13 Implementation of the anti-bribery management system by controlled organizations and by business associates
  - A.13.1 General
    - A.13.2 **Controlled organizations**
    - A.13.3 **Non-controlled business associates**
  - A.14 **Anti-bribery commitments**
- A.15 Gifts, hospitality, donations and similar benefits
- A.16 Internal audit
- A.17 Documented information
- A.18 Investigating and dealing with bribery
- A.19 Monitoring
- A.20 Planning and implementing changes to the anti-bribery management system
- A.21 Public officials

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**MALAYSIAN STANDARD** MS ISO 9001:2015

Quality management systems - Requirements  
(Second revision)  
(ISO 9001:2015, IDT)

ICS: 03.120.10  
Description: requirements, quality management systems

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DEPARTMENT OF STANDARDS MALAYSIA




**MALAYSIAN STANDARD** MS ISO 37001:2016

Anti-bribery management systems -  
Requirements with guidance for use  
(ISO 37001:2016, IDT)  
(Published by STANDARDS MALAYSIA in  
2017)

ICS: 03.100.70, 03.100.01  
Description: management systems, anti-bribery, requirements, guidance for use

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DEPARTMENT OF STANDARDS MALAYSIA

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# Clause 4: Context of the organisation





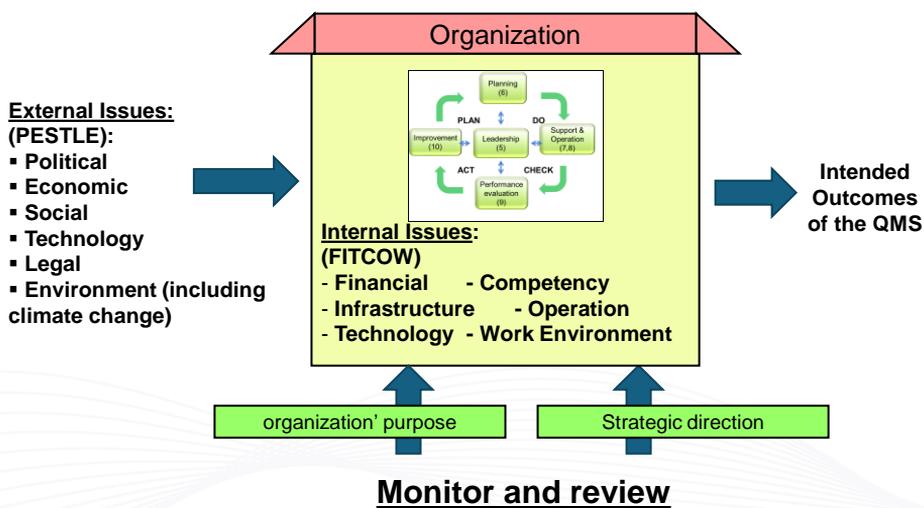
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- Shall determine **internal and external issues** that are relevant to its **purpose** and its **strategic direction** .
- Shall **monitor and review** information relating to internal and external issues.
- Organization shall determine whether climate change is a relevant issue to the organization.

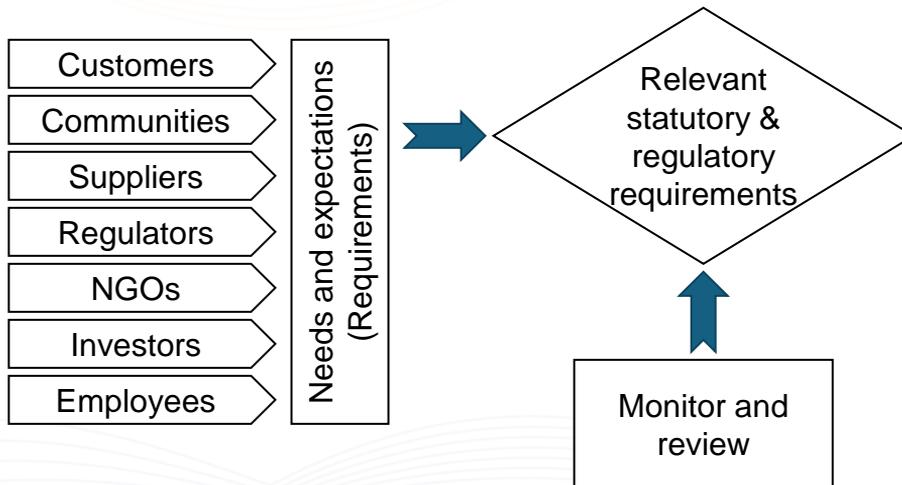
Note:

Issues can include positive & negative factors or conditions for consideration

## 4.1 Understanding the organization and its context



## 4.2 Understanding the needs and expectations of interested parties



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To consistently provide products and services that meet customer and statutory and regulatory requirements, the organization shall determine:

- Shall determine the **interested parties** that are relevant to the quality management system.
- Shall determine the **requirements of these interested parties** that are relevant to the QMS
- Shall **monitor** and **review** the information about these interested parties

Note: Relevant interested parties can have requirements related to climate change

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### 4.3 Determining the scope

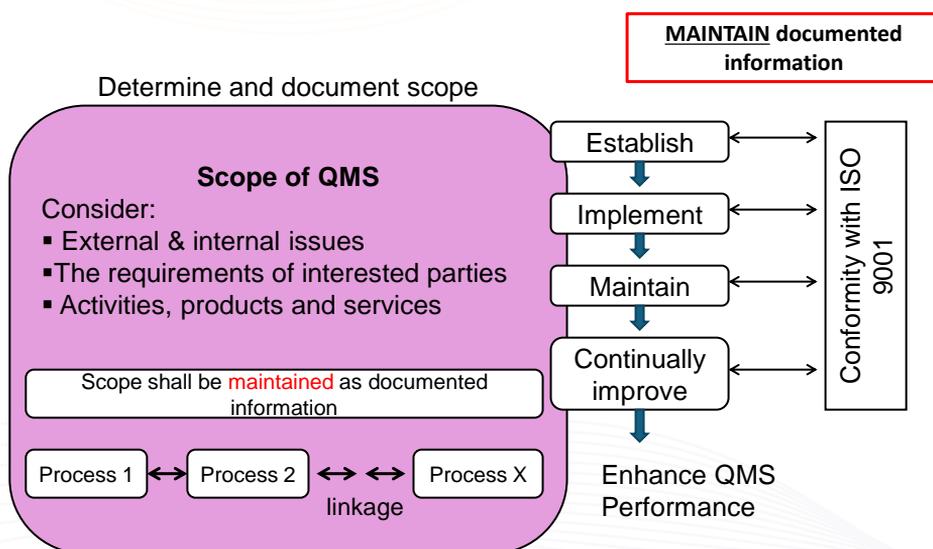
In determining the scope of the QMS, the organization shall determine the boundaries and applicability of the QMS to establish the scope. Shall consider:

- External and internal issues (referred to 4.1)
- Relevant requirements of interested parties (referred to 4.2)
- Its products and services

The scope shall be available and **maintained as documented information** and shall stating the:

- Product and services covered by the QMS
- Justification where the requirement cannot be applied

### 4.3 Determining the scope of QMS



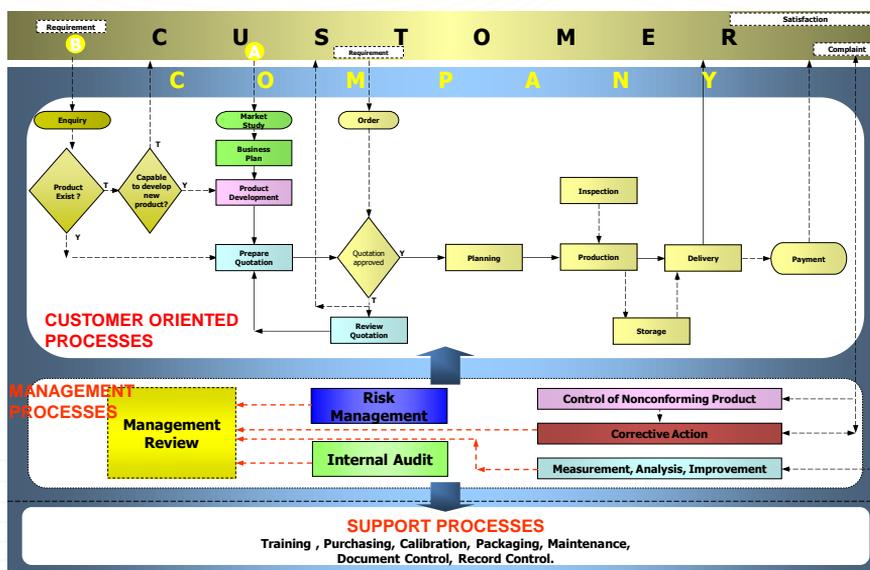
## 4.4 Quality Management System and its Processes

**4.4.1** The organization shall establish, implement, maintain and continually improve a QMS, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015.

The organization shall determine the processes needed for the QMS and :

- **The inputs and outputs of the processes**
- The sequence and interaction of these processes
- The criteria, methods, including measurements and related performance indicator
- The resources needed
- The assignment of the responsibilities and authorities
- **The risks and opportunities (6.1)**
- The method for monitoring, measuring and evaluation
- Opportunities for improvement

## Process mapping - Example



**4.4.2** To the extent necessary, the organization shall

- a) MAINTAIN documented information to support the operation of its processes;
- b) RETAIN documented information to have confidence the processes are being carried out as planned

**ISO 37001:2016**  
**Clause 4 Context of Organization**

**INTERNAL AND EXTERNAL ISSUE**

Issues that leads to bribery

01

**SCOPE**

Coverage and boundaries of the system

03

**Bribery Risk Assessment**

Assessment of the Bribery / Corruption Risk

05

**STAKEHOLDER NEEDS AND EXPECTATION**

Needs and expectation that leads to bribery

02

**ABMS**

The overall plan of ABMS

04



## 5.1.2 CUSTOMER FOCUS

Top management to demonstrate leadership and commitment with respect to customer focus by ensuring that:

- Customer and applicable statutory and regulatory requirements are determined, understood and consistently met
- The risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed.
- The focus on enhancing customer satisfaction is maintained.

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## 5.2 QUALITY POLICY

- 5.2.1 Top management shall establish, implement and maintain quality policy that:
  - Appropriate to the purpose and context of the organization
  - Provide a framework for setting and reviewing the quality objectives.
  - Includes a commitment to satisfy applicable requirements.
  - Include a commitment to continual improvement
- 5.2.2 The Policy shall:
  - Be available and maintained as documented information
  - Be communicated, understood and applied within the organization
  - Be available to interested parties as appropriate.

**MAINTAIN** documented  
information

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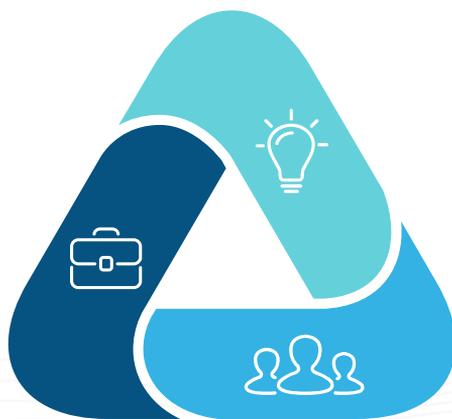
## 5.3 ORGANIZATIONAL ROLES, RESPONSIBILITIES & AUTHORITIES

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.

Top management shall assign the responsibility and authority for:

- a) Ensuring that QMS conforms to the requirements
- b) Ensuring the processes are delivering their intended outputs
- c) Reporting QMS performance, on opportunities for improvement, in particular to top management
- d) Ensuring the promotion of customer focus
- e) Ensuring the integrity are maintain when changes to QMS are planned and implemented

### ISO 37001:2016 Clause 5 Leadership and Commitment



**1 Leadership**  
Governing Body  
Top Management

**2 Policy**  
Promises

**3 Roles, Responsibilities and authorities**  
Roles and responsibilities  
Compliance Function  
Delegated decision making

# Clause 6: Planning



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## 6.1 Action to address risk and opportunities

- 6.1.1 When planning of QMS, shall consider the issues referred to 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:
  - Ensure the QMS can achieve its intended outcome
  - Enhance desirable effects
  - Prevent or reduce, undesired effects
  - Achieve continual improvement

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## 6.1 Action to address risk and opportunities

6.1.2 The organization shall plan:

- Action to address these risk and opportunities
- How integrate and implement the action into QMS processes and evaluate the effectiveness of these actions

Action taken to address risk and opportunities must be appropriate to the potential impact on the conformity of products and services

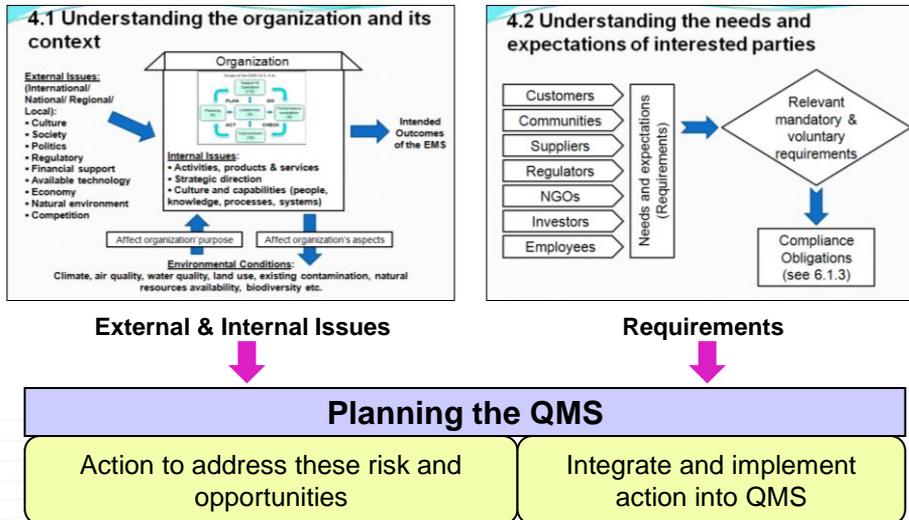
## 6.1 Action to address risk and opportunities

Opportunities can lead to:

- Adoption of new practices
- Launching of new products
- Opening new markets
- Addressing new customer
- Building partnerships
- Using new technology

and other desirable and viable possibilities to address the organization's or its customers' needs

# Planning – 6.1 Actions to address risk and opportunities



## ISO 31000:2018

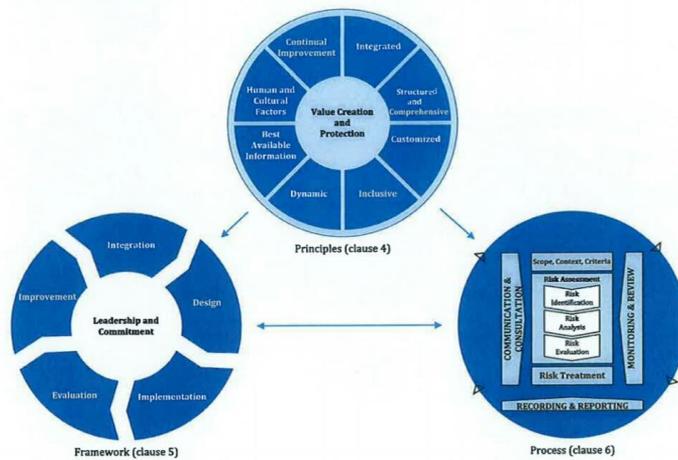


Figure 1 — Principles, framework and process

Risk-Based Thinking – Organizations can decide whether or not to develop a more extensive risk management methodology than is required by ISO 9001:2015, example through the application of other guidance or standards (Annex A, A.4 – ISO 9001:2015)

# Risk Assessment Format/Risk Register

Process:	Date:
----------	-------

1. Risk Identification				2. Risk Analysis & Assessment				3. Risk Treatment		
Internal/ External Issue Categorization	Issue	Risk	Effect	Current Risk Control	Probability	Severity	Risk	Treatment Category	Recommended Action	Status

63

63

## 6.2 Quality Objective and Planning to achieve them

- The organization shall establish Quality objectives at relevant function, levels and processes.
- The Quality objectives shall:
  - Be consistent with Quality policy
  - Be measurable
  - Take into account applicable requirements
  - Be relevant to conformity of products and services and enhancement of customer satisfaction
  - Be monitored
  - Be communicated
  - Be update as appropriate

**MAINTAIN** documented information

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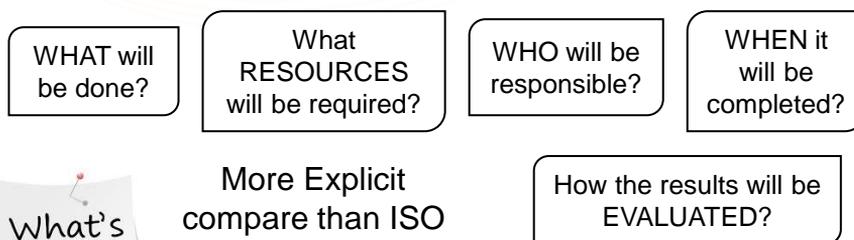
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## 6.2 Quality Objective and Planning to achieve them

- When planning, the organization shall determine:
  - What will be done
  - What resources will be required
  - Who will be responsible
  - When it will be completed
  - How the results will be evaluated



## 6.2 Quality objectives and planning to achieve them



More Explicit  
compare than ISO  
9001:2008

**MAINTAIN** documented  
information

Dept	Objective	Target	Resources	Monitoring method
Studio	To ensure the facilities be available on time	Equipment availability 99.5%	- Staff - Studio facilities and equipment	Monthly report
		Staff availability 99.95%	- Staff - Studio facilities and equipment	Daily Log book

## 6.3 Planning of changes

When organization determines the need of change to the quality management system, the change shall carry out in a planned manner (4.4). Shall consider :

- The purpose of the change and any potential consequences
- The integrity of the quality management system
- The availability of resources
- The allocation or reallocation of responsibilities and authorities

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### ISO 37001:2016 Clause 6 Planning



#### Risk / Opportunity Treatment

Treatment to address the bribery / corruption risk / opportunity



#### Anti Bribery Objective

- Result to be achieved
- Consistent with AB Policy
- Measurable
- Take into account 4.1, 4.2, 4.5
- Achievable
- Monitored
- Communicated
- Updated
- Retain DI

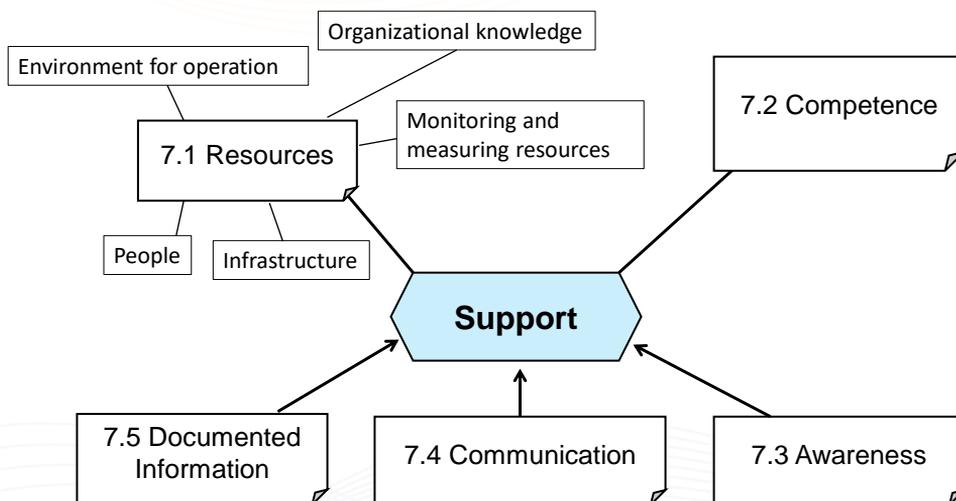
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# Clause 7: Support



## 7.1 Resources



## 7.1 Resources

Shall determine and provide the resources to ensure effectiveness of the QMS.

Resource considerations include:

1. Capability of and constraints on existing internal resources
2. Need for external providers

### 7.1.2 People

- Organization shall determine and provide the persons necessary for the effective implementation of the QMS, and for the operation and control of its processes

### 7.1.3 Infrastructure

- Shall determine, provide and maintain infrastructure for the operation of its processes to achieve conformity of products and services.
- Can include building, associated facilities, equipment including hardware and software, transportation, information and communication technology

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### 7.1.4 Environment for the operation of processes

- Shall determine, provide and maintain the environment necessary for the operation.
- Can include human and physical factors, such as social, psychological, environmental and other factor (such as temperature, humidity, ergonomic and cleanliness)

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### 7.1.5.1 Monitoring and measuring resources

Shall determine and provide resources needed to ensure valid and reliable results when monitoring and measuring is used to verify the conformity of product and services to requirements

Shall ensure the resources provided:

- Are suitable for the specific type of monitoring and measurement activities
- Maintained to ensure continued fitness for their purpose

Shall retain appropriate documented information of fitness for purpose of monitoring and measuring resources.

**RETAIN** documented information

75

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### 7.1.5.2 Measurement traceability

When measurement traceability is a requirements, or is considered by the organization to be essential part of providing confidence in the validity of measurement results, measurement equipment shall be:

- Calibrated or verified, or both at specified intervals or prior to use, against measurements standard traceable to international or national measurement standard; when no such standards exist the basis used for calibration or verification shall be retained as documented information;
- Identified in order to determine their status
- Safeguarded from adjustments, damage or deterioration

**RETAIN** documented information

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## 7.1.5.2 Measurement traceability

The organization shall determine if the validity of previous measurement result has been adversely affected when measuring equipment is found to be unfit for intended purpose, and shall take appropriate action as necessary

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## 7.1.6 Organizational knowledge

- Requirement for organization to **determine, maintain and make available** knowledge needed for operation of its processes and to achieve conformity of products and services.
- Need also to consider whether additional knowledge needed to address changing needs and trends.

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## 7.2 Competence

- Shall determine the necessary competence of person(s) doing work under its control that affects its QMS performance.
- Ensure these persons are competence on the basis of appropriate education, training or experience.
- Take action to acquire the necessary competence and evaluate the effectiveness.
- Retain appropriate documented information as evidence of competence.

**RETAIN** documented  
information

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## 7.3 Awareness

Awareness:

- The Quality policy
- The relevant quality objective
- Their contribution to the effectiveness of QMS, including the benefits of improved performance
- The implication of not conforming with QMS requirements



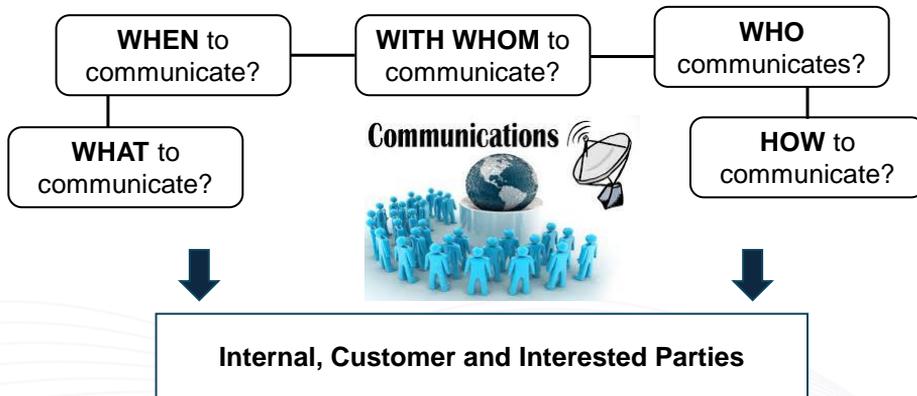
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## 7.4 Communication

Include internal and external Communication relevant to QMS

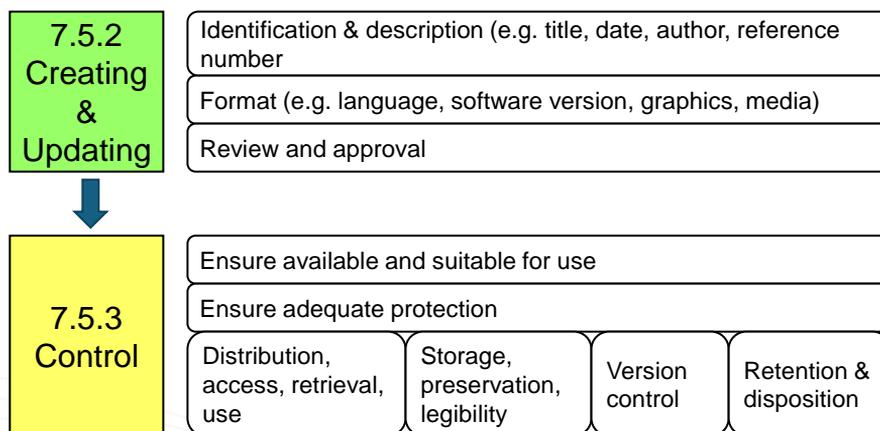


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## 7.5 Documented Information



Includes documented information of external origin

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**ISO 37001:2016**  
**Clause 7 Support**



# Clause 8: Operation



## 8.1 OPERATIONAL PLANNING AND CONTROL

- The organization shall plan, implement and control the processes as outlined in 4.4, needed to meet requirements for the provision of products and services and to implement the actions determined in 6.1 by:
  - Determining requirements for the product and services
  - Establishing criteria for the processes and for the acceptance of product/service
  - Determining the resources needed
  - Implementing control
  - Determining, maintaining and retaining documented information.

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### 8.2.1 Customer Communication

- Shall determine and implement effective arrangements for communicating with customers in relation to:
  - Product or services information
  - enquiries/contract/order handling, including changes
  - Obtaining customer views and perceptions, including complaints
  - Handling or treatment of customer property, if applicable
  - Specific requirements for contingency actions, when relevant

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## 8.2.2: Determination of requirements related to product and services

- When determining the requirement for the products and services to be offered to customers, the organization shall ensure:
  - Product and service requirements and applicable statutory and regulatory requirements are defined;
  - It has the ability to meet the defined requirements and substantiate the claims for the products and services it offers.

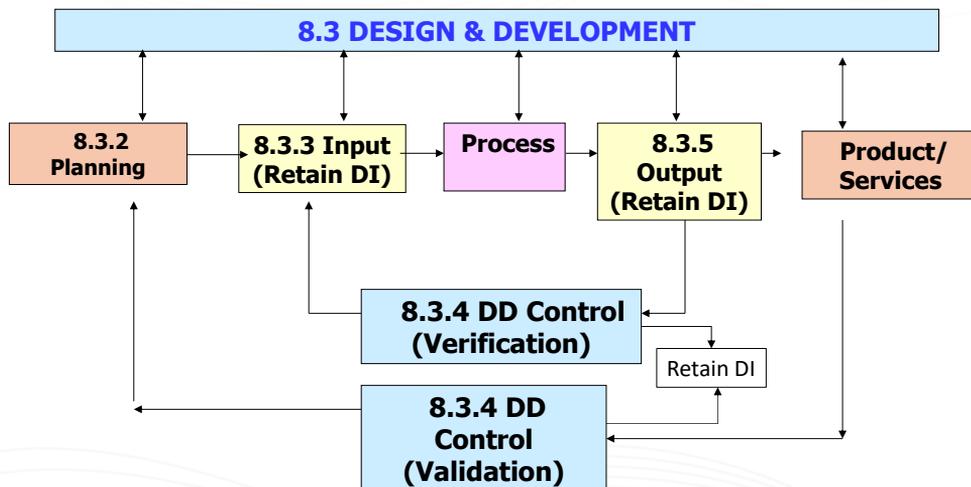
## 8.2.3: Review of requirements related to product and services

- The organization shall review;
  - Requirements specified by the customer, including the requirements for delivery and post delivery activities
  - Requirements not stated by the customer but necessary for specified or intended use, when known;
  - Requirements specified by the organization
  - Statutory and regulatory requirements related to the product and service
  - Contract or order requirements differing from those previously expressed

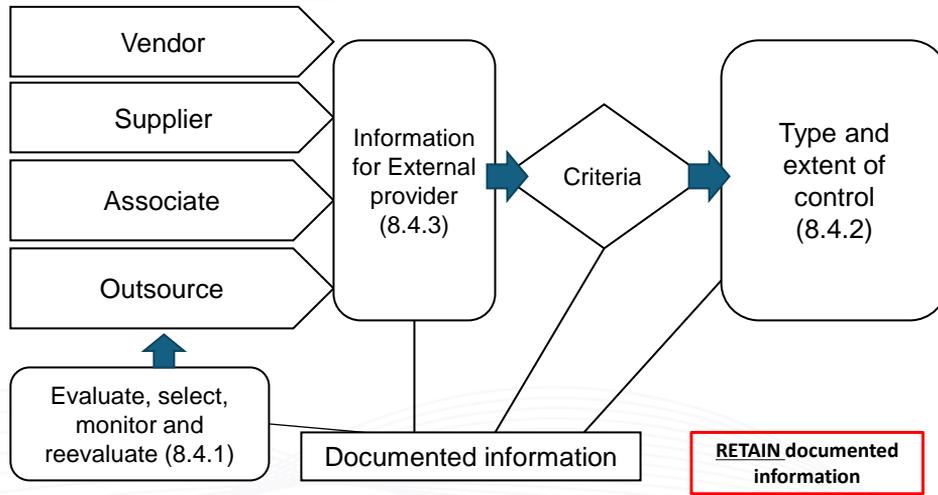
## 8.3 Design and development of products and services

- Clarification of the application of D&D requirements (Clause 8.3.1)
- D&D planning (Clause 8.3.2)
- D&D inputs – (Clause 8.3.3)
- D&D controls – combining Reviews, Verification & Validation (Clause 8.3.4)
- D&D outputs – (8.3.5)
- D&D changes – (8.3.6)

RETAIN documented information



## 8.4 Control of external provision of goods and services



Information for external providers are now more detailed and explicit

## 8.5.1 Control of production and service provision

- Shall plan and carry out production under controlled conditions. Controlled conditions shall include, as applicable:
  - Availability of documented information that defines characteristics of product or service and results to be achieved
  - Availability and use of suitable monitoring and measuring resources
  - Monitoring and measurement activities at appropriate stages and acceptance criteria have been met.
  - The use and control of suitable infrastructure and process environment
  - The competence of person
  - Validation where resulting output cannot be verified
  - Implementation of **actions to prevent human error**
  - The implementation of product and service release and delivery and post-delivery activities

## 8.5.2 Identification and traceability

- Where necessary to ensure conformity of products and services, the organization shall use suitable means to identify process outputs.
- Shall identify the status of process outputs with respect to monitoring and measurement requirements
- Where traceability is a requirements, shall control the unique identification of the process output and retain any documented information necessary to maintain traceability.

**RETAIN** documented information

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## 8.5.3 Property belonging to customers or external providers

- The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into products and services
- When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report to customer or external provider, and retain documented on what has occurred

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## 8.5.4 Preservation

- Shall ensure preservation of process output during production and service provision, to the extent necessary to maintain conformity to the requirements,
- Can include identification, handling, contamination control, packaging, storage, transmission or transportation and protection.

## 8.5.5 Post Delivery activities

- ❖ Shall meet requirements for the post delivery activities associated with the products and services.
- ❖ In determining the extent of post-delivery activities that are required, the organization shall consider:
  - a) Statutory and regulatory requirements
  - b) The potential undesired consequences associated with its products and services
  - c) The nature, use and intended lifetime of the products and services
  - d) Customer requirements
  - e) Customer feedback

## 8.5.6 Control of Changes

- ✓ The organization shall review and control changes for production or service provision to the extent necessary to ensure continuing conformity with requirements.
- ✓ The organization shall retain documented information describing the results of the review of changes, the person authorizing the change, and any necessary actions arising from the review.

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## 8.6 Release of products and services

- 📄 The organization shall implement planned arrangements at appropriate stages to verify that product and services requirements for verification have been met.
- 📄 The release of products and services to the customer shall not proceed until planned arrangements for verification of conformity have been completed unless otherwise approved by a relevant authority and as applicable by the customer. Documented information shall provide traceability to the person authorizing.

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## 8.7 Control of nonconforming process outputs, products and services

8.7.1 The organization shall deal with nonconforming process outputs, products and services in one or more of the following ways:

- Correction
- Segregation, containment, return or suspension of provision of products and services
- Informing the customer
- Obtaining authorizing for acceptance under concession

Conformity shall be verified when nonconforming outputs are corrected

8.7.2 The organization shall retain documented information that:

- describe the conformity
- describe the actions taken
- describe any concessions obtained;
- Identifies the authority deciding the action in respect of nonconformity

**RETAIN documented information**

## ISO 37001:2016



## 8.1 Operational, Planning & Control

- The organization shall plan, implement, monitor and control the processes needed to meet the requirements of the Anti-bribery Management System and to implement actions to address bribery risks and opportunities.
- The organization shall control and review any planned or unintended changes and shall take action to mitigate any adverse effect, if necessary.

Examples : Procedure established to prevent the offer, provision or gift acceptance and similar benefits.

## 8.2 Due Diligence

- The organisation shall assess the nature and extent of the bribery risk in relation to **specific transactions, projects, activities, business associates and personnel** in certain position that are categorised in the **more than low bribery risk** as a result of the bribery risk assessment conducted .
- This assessment shall include any due diligence necessary to obtain sufficient information to assess the bribery risk. The due diligence shall be updated at a defined frequency, so that changes and new information can be properly taken into account.

Refer Annex A.10 of ISO 37001:2016

## 8.2 Due Diligence

- The organisation shall assess the nature and extent of the bribery risk in relation to **specific transactions, projects, activities, business associates and personnel** in certain position that are categorised in the **more than low bribery risk** as a result of the bribery risk assessment conducted .
- This assessment shall include any due diligence necessary to obtain sufficient information to assess the bribery risk. The due diligence shall be updated at a defined frequency, so that changes and new information can be properly taken into account.

**Refer Annex A.10 of ISO 37001:2016**

**Examples : Procedure for due diligence processes on projects, transaction and activities; Due diligence procedure on business associates via – questionnaires, web-search on the associate, searches at appropriate government resources, making enquiries, etc.**

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## 8.3 Financial Controls

The organisation shall implement financial controls that manage bribery risk.

The objective of financial controls implemented is to ensure that organization manages its financial transaction properly and record these transaction accurately, completely and in a timely manner.

**Refer Annex A.11 of ISO 37001:2016**

**Examples : Separation of duties, tiered level of authority for payment approvals, 2 signatures on payment approvals, request of supporting documents as evidence prior approving payment, implement periodic and independent financial audits**

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## 8.4 Non-Financial Controls

The organisation shall implement non-financial controls that manage bribery risk respect to such areas as procurement, operational, sales, commercial, human resources, legal and regulatory activities to ensure that these activities are properly managed.

**Refer Annex A.12 of ISO 37001:2016**

**Examples : Usage of approved suppliers that have undergone pre-qualifying process and due diligence, transparent tender process for awarding contracts, requires at least 2 person to evaluate tenders and approve contract, implement separation of duties, requires at least 2 signatures on contracts, use of checklists, forms, etc.**

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## 8.5 Implementation of Anti-bribery controls by Controlled Organizations and by Business Associates

- The implementation of anti-bribery controls is extended to organizations controlled by the organization and business associates, where the organization can help to mitigate the relevant bribery risk.
- The organization shall implement procedures which require that all other organizations over which it has control, to either implement the organization's anti-bribery management system or implement their own anti-bribery controls.

**Refer Annex A.13 of ISO 37001:2016**

**Examples : Controls must be imposed to mitigate cases of bribery that can happen over a subsidiary, joint venture or consortium, an agent, supplier or sub-contractor.**

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## 8.6 Anti-bribery Commitments

For business associates who are with **more than** acceptable or low bribery risk, effective controls and decisions are required, and it may lead to termination of the relationship. Bribery risk assessment is necessary for such situations for evaluating the risk to the organization.

**Refer Annex A.14 of ISO 37001:2016**

**Examples : Commitment shall be done in writing, could be in a separate commitment document or could be part of contract document between the business associate and the organisation.**

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## 8.7 Gifts, Hospitality, Donations & Similar Benefits

The organisation shall implement procedures that are designed to prevent the offering, provision or acceptance of gifts, hospitality, donations and similar benefits where the offering, provision or acceptance is, or could reasonably be perceived as, bribery.

**Refer Annex A.15 of ISO 37001:2016**

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## 8.7 Gifts, Hospitality, Donations & Similar Benefits

The organisation shall implement procedures that are designed to prevent the offering, provision or acceptance of gifts, hospitality, donations and similar benefits where the offering, provision or acceptance is, or could reasonably be perceived as, bribery.

**Refer Annex A.15 of ISO 37001:2016**

**Examples : Procedure established to totally prohibit all gifts and hospitality or permitting but limiting by reference of frequency, timing, reasonableness, identity of recipient, reciprocity and legal and regulatory environment, prevent the offer, provision or gift acceptance and similar benefits.**

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## 8.8 Managing Inadequacy of Anti-Bribery Controls

Where the Due D conducted on a specific transaction, project, activity or relationship with a BA that the bribery risks cannot be managed by existing AB controls, & the organization cannot or does not wish to implement additional or enhanced AB controls

- Existing transaction, project, activity or relationship to be reviewed at appropriate stages to:
  - terminate, discontinue, suspend or withdraw as soon as practicable.

**Examples : Process exist to terminate, discontinue, suspend or withdraw from the existing transaction, project activity or relationship. For new proposed transaction, project activity or relationship, exist process to postpone or decline to continue.**

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## 8.9 Raising Concerns

- The organization shall implement procedures on raising concerns to enable persons to report attempted, suspected and actual bribery or any violation of or weakness in the ABMS, to the compliance function or to appropriate personnel.
- The procedure shall also maintain confidentiality, allow anonymous reporting, prohibit retaliation and protect personnel from retaliation.
- The organization shall ensure that people are aware of the reporting procedure, their rights, and protections.

**Examples : Procedure on Reporting Bribery / Misconduct as well as Whistleblowing Policy and Procedure.**

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## 8.10 Investigating & Dealing with Bribery

The organization shall implement procedures for investigation and dealing with bribery which ensures an effective investigation, requires appropriate action, empowerment of investigators and the status and reports to Compliance Function.

The investigations should be carried out by independent personnel and that reports the results to personnel who are not part of the role or function being investigated.

**Refer Annex A.18 of ISO 37001:2016**

**Examples : Procedure on Investigation, stating process of investigating, personnel conducting investigation have the related competencies, including decisions made as a result of the investigation – terminate / withdraw, repay / reclaim any improper benefits obtained, disciplinary action, reporting to authority, legal action**

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## Clause 9: Performance Evaluation



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## 9.1 MONITORING, MEASUREMENT, ANALYSIS & EVALUATION

### 9.1.1 General

RETAIN documented  
information

- The organization shall determine:
  - What need to be monitored and measured.
  - The methods for monitoring, measuring, analysis and evaluation as applicable
  - When the monitoring and measuring shall be performed
  - When the results from the monitoring and measurement shall be analysed and evaluated.
- Shall retain appropriate documented information as evidence of the results.
- Shall evaluate the quality performance and the effectiveness of the quality management system

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## 9.1.2 Customer Satisfaction

- The organization shall monitor customer perceptions of the degree to which requirements have been met.
- Shall obtain information relating to customer views and opinion of the organization and its products and services
- The methods for obtaining, monitoring and reviewing this information shall be determined
- Can include customer satisfaction/opinion survey, customer data on delivered products or service, market share analysis, compliments, warranty claims and dealer reports.

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## 9.1.3 Analysis and Evaluation

- Shall analyse and evaluate appropriate data and information arising from monitoring, measurement and other sources.
- The result of analysis shall be used to evaluate:
  - Conformity of product and services
  - The degree of customer satisfaction
  - The performance and effectiveness of the QMS
  - If planning has been implemented effectively
  - The effectiveness of actions taken to address risks and opportunities
  - The performance of external providers
  - The need for improvements to the quality management system

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## 9.2 INTERNAL AUDIT

- Shall conduct Internal Audit at planned intervals to provide information on whether QMS
- a) Conforms to organization own requirements for its QMS and ISO 9001 requirements
- b) Effectively implemented and maintained

Organization shall plan, establish and implement an audit program including frequency, method, responsibilities, planning requirement and reporting. The programme should be based on

- Importance of the process
- Changes affecting the organization
- results of previous audits,

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## 9.2 INTERNAL AUDIT

- Define audit criteria and scope.
- Auditor shall ensure objectivity and impartial of the audit process
- Ensure results of audit are reported to relevant management
- Take appropriate correction and corrective action without undue delay
- Retain documented information

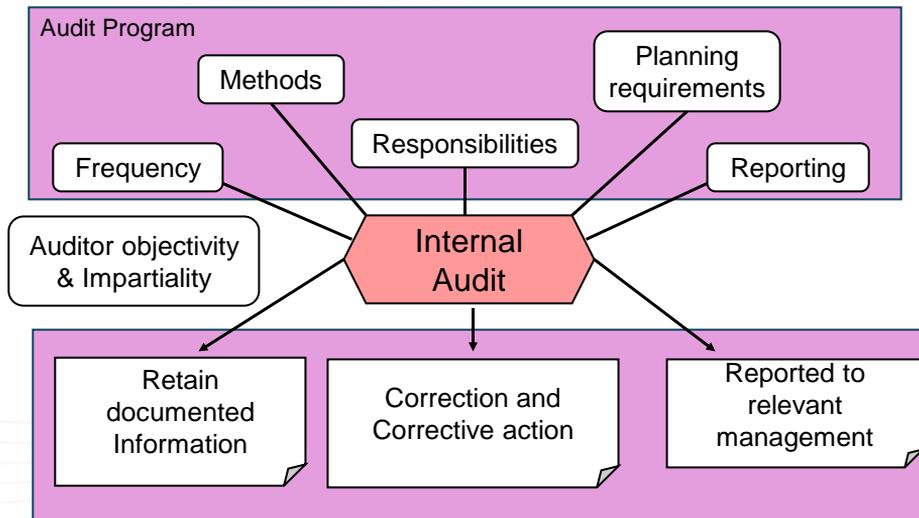
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information**

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## 9.2 Internal audit



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## 9.3.2 Management Review Inputs

Top management shall take into consideration:

- ✍ The status of action from previous management review
- ✍ Changes in external and internal issues that are relevant to quality management system
- ✍ Information on performance and effectiveness of the quality management system, including trend in:
  - Customer Satisfaction and feedback from relevant interested parties
  - The extent to which quality objectives have been met
  - Process performance and conformity of products and services
  - Nonconformities and corrective actions
  - Monitoring and measurement results
  - Audit results
  - Performance of external providers
- ✍ Adequacy of resources
- ✍ The effectiveness of action taken to address risk and opportunities
- ✍ Opportunities for improvement

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### 9.3.3 Management Review Outputs

The output of the management review shall include decisions and actions related to:

- Opportunities for improvement
- Any need for changes to quality management system
- Resources needs

The organization shall retain documented information as evidence of the results of management reviews

**RETAIN documented information**

**ISO 37001:2016**  
**Clause 9 : PERFORMANCE EVALUATION**



## Clause 10: Improvement



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## 10 Improvement

### 10.1 General

The organization shall determine and select opportunities for improvement and implement necessary actions to meet customer requirements and enhance customer satisfaction. These shall include, :

- Improving products and services to meet requirements, including address future needs and opportunities
- Correcting, preventing or reducing undesired effects
- Improving the performance and effective of quality management system

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## 10.2 Nonconformity and Corrective Action

When nonconformity occurs, the organization shall:

- a) React to the nonconformity, and as applicable:
  - 1) take action to control and correct it
  - 2) deal with the consequences
- b) Evaluate the need for action by:
  - 1) reviewing and analyzing the nonconformity
  - 2) determining the causes of nonconformity
  - 3) determining if similar nonconformities exist, or could potentially occur
- c) Implement any action needed
- d) Review the effectiveness of corrective action taken
- e) Update risks and opportunities
- e) Make changes to the QMS

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## 10.3 Continual Improvement

- ⚡ Shall continually improve the suitability, adequacy and effectiveness of the QMS.
- ⚡ Shall consider the outputs of the analysis and evaluation and the output from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

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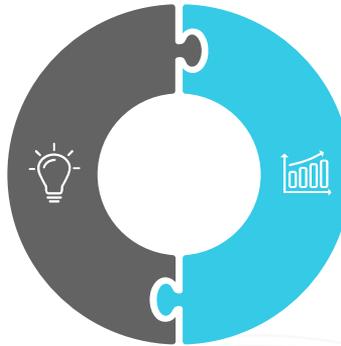
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ISO 37001:2016  
Clause 10 : IMPROVEMENT

## Nonconformity and corrective action

Non fulfilment of a requirement

Action to eliminate the cause of nonconformity and to prevent recurrence



## Continual Improvement

Recurring activity to enhance performance

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# Thank You



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