


	Raportul de audit <i>/Audit Report</i>	audit executat de partenerul <i>/audit executed by partner</i> QSCert SRL Romania Str Ioan Popasu, Nr. 7, Ap. 6, Brasov, Jud. Brasov www.qscert.ro
	Numele organizatiei, adresa <i>/Organization name, address</i> UNITATEA ADMINISTRATIV TERITORIALĂ - MUNICIPIUL TOPLIȚA Str. N.Balcescu, Nr.14, Toplita, Judetul Harghita	

1. Date de baza /Basic data

Elaborat de auditorul sef <i>/Elaborated by lead auditor</i>		Verificat si aprobat de <i>/Reviewed and approved by</i>		
Nume/Name	Data/Date	Nume/Name	Data/Date	Semnatura/Signature
Andreea Ion	07.06.2024	Alina Ifrim	07.06.2024	

Raport nr./Report nr.	K_3793/2024
Data auditului/Date of audit	05.06.2024
Locurile conducerii auditului/Places of audit conduction	Company's residence

Auditorul sef /Lead auditor	Andreea Ion
Co-auditor(i) /Co-auditor(s)	-
Expert(i) /Expert(s)	-

Domeniul certificat <i>/Certified scope</i>	Servicii de administrație publică. <i>Public administration services.</i>
Codurile EA QSCert <i>/EA QSCert code(s)</i>	36
Locatiile certificate/Certified localities	Str. N.Balcescu, Nr.14, Toplita, Judetul Harghita

Tipul auditului/Type of audit	Standard /Standard
Certificare /Certification	-
Recertificare /Recertification	-
Prima supraveghere /1st surveillance	ISO 37001:2016
A doua supraveghere /2nd surveillance	-
Supraveghere extraordinara <i>/Extraordinary surveillance</i>	-

2. Cursul auditului/Audit course

Prima etapa a auditului/1st stage audit	<input type="checkbox"/> realizat documentar/performed documentary <input type="checkbox"/> realizat la fata locului/performed on site <input checked="" type="checkbox"/> nu s-a efectuat (la auditul de supraveghere) /not conducted (at surveillance audit)
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3. Rezultatele auditului/ Audit results

Constatarile au fost identificate in timpul auditului si sunt inregistrate in aceasta parte a raportului
/Findings were identified during audit and are recorded in this part of report

Îndeplinirea Cerințelor ISO 37001:2016 <i>/Fulfilment of ISO 37001:2016 requirements</i>		Ediția /Issue: 1
Art. 4.5 – Organizația efectuează periodic evaluarea riscului de luare de mită. Organizația a stabilit criteriile pentru evaluarea unui nivel de risc de luare de mită luand în considerare politica și obiectivele organizației. Evaluarea riscului de luare de mită este analizat în mod regulat și în cazul unei modificări semnificative. Organizația păstrează informații documentate ale evaluării riscului de luare de mită.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 4.5 – The organization undertakes regular bribery risk assessment. The organization has established criteria for evaluating a level of bribery risk taken into account the organization's policy and objectives. The bribery risk assessment is reviewed on a regular basis and in the event of a significant change. The organization retains records of the bribery risk assessment.
Dovezi obiective privind eșantionul auditat/ <i>Objective evidence on audited sample</i> Organisation undertakes on an annual basis or each time is needed and records within the Risk Register from 23.11.2023 the risk assessment to identify the bribery risks the organization might reasonably anticipate, and to analyse, assess and prioritize the identified bribery risks. The methodology for risk analysis and assessment is set out in Risk evaluation Procedure UAT MT AM 05 Corruption risk management from 15.08.2022. The risk is assessed by evaluating the suitability and effectiveness of the existing controls to mitigate the bribery		

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risks. Result of risk evaluation: moderate risk of corruption for organisation (in accordance with the methodology imposed by GD 599/2018), characterized by the identification at the time of the analysis of 81 corruption risks. It was checked: Risk description: Failure to allocate the necessary human and financial resources; Low level of participation and engagement; The formal nature of the activities; The low quality of activities to increase anti-corruption education Remedial measures: Increasing the degree of anti-corruption education of citizens and public officials, with an emphasis on their rights in the relationship with public authorities and institutions and the impact of corruption on public services, Responsible: The management of UAT Toplița Municipality, the coordinator of the integrity plan In collaboration with ANFP, ME, INA, Term: Permanent, Resources: Internal		
Art. 6.1 – Atunci când planifică SMAM, organizația a luat în considerare problemele menționate la 4.1, cerințele menționate la 4.2, riscurile identificate la 4.5 și oportunitățile de îmbunătățire. Organizația a planificat acțiuni pentru a aborda riscurile de luare de mită și oportunități de îmbunătățire, cum să integreze și să implementeze aceste acțiuni în procesele SMAM și cum să evalueze eficacitatea acestor acțiuni.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 6.1 – When planning for the ABMS, the organization has considered the issues referred to in 4.1, the requirements referred to in 4.2, the risks identified in 4.5 and opportunities for improvement. The organization has planned actions to address the bribery risks and opportunities for improvement, how to integrate and implement these actions into ABMS processes and how to evaluate the effectiveness of these actions.
Dovezi obiective privind eșantionul auditat/Objective evidence on audited sample Objective evidence is given in Art. 4.5 in ISO 37001.		
Art. 8.1 – Organizația planifica, implementeaza, analizeaza și controlează procesele necesare pentru a răspunde cerințelor SMAM, inclusiv procese externalizate (criterii, control în conformitate cu criteriile, înregistrări necesare). Organizația controlează schimbările planificate și analizeaza consecințele schimbărilor neprevăzute.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.1 – The organization has planned, implemented, reviews and controls the processes needed to meet ABMS requirements including outsourced processes (criteria, control in accordance with the criteria, necessary records). The organization controls planned changes and review the consequences of unintended changes.
Dovezi obiective privind eșantionul auditat/Objective evidence on audited sample ABMS Manual - UAT MT MAM 01 from 15.08.2022. Company plans, implements, reviews and controls the processes needed to meet requirements of the anti-bribery management system by establishing criteria for the processes within documented procedures and implementing control of the processes in accordance with the criteria. Records are maintained to prove the effective implementation.		
Art. 8.2 – În cazul în care evaluarea riscului de luare de mită a organizației (art. 4.5) a evaluat un risc mai mult decât scăzut de luare de mită, organizația a evaluat natura și amploarea riscului de luare de mită în raport cu tranzacții specifice, proiecte, activități, asociații de afaceri și personal. Această evaluare a inclus orice investigație preventive rezonabilă necesară pentru a obține informații suficiente pentru a evalua riscul de luare de mită. Investigațiile preventive rezonabile sunt actualizate regulat, astfel încât să fie luate în considerare modificările și informațiile noi.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.2 – Where the organization's bribery risk assessment (art. 4.5) has assessed a more than low bribery risk, the organization has assessed the nature and extent of the bribery risk in relation to specific transactions, projects, activities, business associates and personnel. This assessment has included any due diligence necessary to obtain sufficient information to assess the bribery risk. The due diligence is updated regularly, so that changes and new information are taken into account.
Dovezi obiective privind eșantionul auditat/Objective evidence on audited sample The organization has planned a procedure for the implementation of due diligence. Assessment is carried out according to the operational procedure Procedure UAT MT AM 02 Reasonable preventive investigation. Due Diligence from 15.08.2022 and includes any due diligence necessary to obtain sufficient information to assess the bribery risk. The due diligence is updated on an annual basis, so that changes and new information can be properly taken into account. It was checked: Record of partner due diligence for business partner-supplier: BGC Plumber Construct SRL – supply contract no. 11619/15.03.2024: - issues investigated: Legitimate business entity, as demonstrated by corporate registration documents, annual filed accounts, tax identification number etc – OK; History check regarding involvement/non-involvement of supplier in taking a bribe – OK, Anti-bribery commitment or management system and implementation of anti-bribery controls – OK; Reputation for bribery, fraud, dishonesty or similar misconduct, or has been investigated, convicted, sanctioned or debarred for bribery or similar criminal conduct- no case/OK. - Conclusion: for this business partner/supplier - Bribery risks can be managed by existing anti-bribery controls.)		
Art. 8.3 – Organizația a implementat controale financiare care gestionează riscul de luare de mită.	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Art. 8.3 – The organization has implemented financial controls that manage bribery risk.

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Dovezi obiective privind eşanționul auditat/*Objective evidence on audited sample*

Control of this process is conducted in accordance with the operational procedure - Financial Controls from 15.08.2022.

Audited performance of financial control on:

- Necessity report no. 8885/28.02.2024
- Purchase no. DA35241831, published on 12.03.2024, completed on 15.03.2024
- Contract 11619/15.03.2024, supplier BGC Plumber Construct SRL, for product pool cleaning robot - Arco Arcomax mini professional for asymmetric pools, 1 pc,
- Offer no. 11160/13.03.2024 supplier BGC Plumber Construct SRL, for product pool cleaning robot - Arco Arcomax mini professional for asymmetric pools, 1 pc, without VAT 27.133, with VAT 5155.27 ron,
- Assessor's certificate no. 339473/12.03.2024
- Invoice no. 240017/18.03.2024, supplier BGC Plumber Construct SRL, for product pool cleaning robot - Arco Arcomax mini professional for asymmetric pools, 1 pc, without VAT 27.133, with VAT 5155.27 ron, approved by Urzica Dumitru
- Minutes of delivery of products - supplier Bucur Cornel (BGC Plumber construct SRL)
- Record of service assessment no. 12897/22.03.2024, commission Biea Gavril, member, Bogdan Dorinel, member, Pop Adelina, member, following the findings, the commission proposes payment of the invoice, service value 27,133 without VAT
- Direct purchase initiated from the electronic catalog no. DA35056743/16.02.2024, purchase name metrological verification services, scale, economic operator: Romanian Bureau of Legal Metrology, purchase value 63.39 ron without VAT
- Necessity report no. 5848/12.02.2024 – metrological verification of food scales 15/30kg, 1 pc, approved by mayor – Olariu Dumitru, addressed to CFP accounting department, addressed to public administrator, Rugina Dan, drawn up by Vlad Alina – administrator
- Order to the supplier BRML SJML Harghita, concerned accounting department no. 39/16.02.2024, head of the development, investments, public procurement, programs, projects office, Urzica Dumitru
- Proposal to commit an expenditure 27.03.2024, purpose payment of invoice F23204210/20.02.2024, beneficiary BRML, amount 75.43 ron, preventive financial control CFPP 27.03.2024, orderer of credits 27.03.2024
- Payment order 27.03.2024 amount 75.43 ron
- Verbal process from 06.03.2024 taking note of the operations carried out by BRML, market weighing checks - Invoice no. 23204210/20.02.2024 – value 63.39, 75.43 with VAT
- Invoice 23204210/20.02.2024 metrological checks, addressed to Pascan Dumitru - service chief
- Treasury receipt, beneficiary BRML - 75.43 ron, verified/signed Dumitru Olariu, Csilla Csiki Peter

The systematic financial control of projects is also performed internally – Conclusion of control : no deficiencies found.

Art. 8.4 – Organizația a implementat controale nefinanciare care gestionează riscul de luare de mită cu privire la domeniul precum achiziții, resurse umane, activități operaționale, vânzări, comerciale, juridice și de reglementare.

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Art. 8.4 – The organization has implemented non-financial controls that manage bribery risk with respect to such areas as procurement, human resources, operational, sales, commercial, legal and regulatory activities.

Dovezi obiective privind eşanționul auditat/*Objective evidence on audited sample*

Control of this process is conducted in accordance with the operational procedure Non-Financial Controls from 15.08.2022.

The company uses only approved contractors, sub-contractors, suppliers and consultants that have undergone a due diligence process under which the likelihood of their participating in bribery is assessed.

- The ABMS Responsible verifies the necessity and legitimacy of the services to be provided by a business associates by accepting the related invoice and approving the payments with respect of this services (e.g Contract 11619/15.03.2024, supplier BGC Plumber Construct SRL, for product pool cleaning robot - Arco Arcomax mini professional for asymmetric pools, 1 pc)

In order to ensure protecting the integrity of tenders and other price-sensitive information, access to the SEAP system (public acquisitions platform) is permitted only to the acquisition department responsables.

Art. 8.5 – Organizația a implementat proceduri care impun ca toate celelalte organizatii asupra carora exercita un control, să implementeze SMAM sau propriile lor controale anti-mită, în măsura în care este rezonabil și proporțional. În legătură cu asociații de afaceri pentru care evaluarea riscului de luare de mită sau investigarea preventive

C/C
 NM/SN
 Nm/LSN

Art. 8.5 – The organization has implemented procedures which require that all organizations over which it has control, implement ABMS or their own anti-bribery controls to the extent that is reasonable and proportionate. In relation to business associates for which the bribery risk assessment or due diligence has identified a more than

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rezonabila a identificat un risc mai mult decât mic de luare de mită, organizația a implementat proceduri conform cerințelor standard.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	<i>low bribery risk, the organization has implemented procedures according to the standard requirements.</i>
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 Control of this process is conducted in accordance with the operational procedure Business Partner Controls from 30.06.2022.
 The organization has control over other organizations- eg Public services, subordinate institutions: Banffy Toplita Baths - Wellness Center, Toplita culture house, Cinema Calimani.
 Controls are made based on based on the regulations - ex. Regulation - HCL 66/2022 - Regulation of the organization and operation of the specialized apparatus of the mayor of the municipality of Toplița.

Art. 8.6 – Pentru asociații de afaceri care prezintă mai mult decât un risc scăzut de luare de mită, organizația a implementat proceduri care s-au asigurat că condițiile angajamentului anti-mită au fost aplicate în conformitate cu cerințele standard. În cazul în care nu a fost posibil să se aplice condițiile contractului de luare de mită, acest factor a fost luat în considerare la evaluarea riscului de luare de mită a relației cu asociații de afaceri și a modului în care organizația gestionează astfel de riscuri.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.6 – For business associates which pose more than a low bribery risk, the organization has implemented procedures which ensured that anti-bribery contract conditions was applied according to the standard requirements. Where it was not possible to apply the anti-bribery contract conditions, this factor was taken into account in evaluating the bribery risk of the relationship with business associates and the way in which the organization manages such risks was established.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 For business associates which pose more than a low bribery risk, the company implemented procedure UAT MT AM 03P 07, Anti-Bribery Commitment from 15.08.2022
 - In the contractual documents is mentioned a clause that specifies the requirements for the parties in the field of the fight against corruption (e.g. Contract 11619/15.03.2024, supplier BGC Plumber Construct SRL)

Art. 8.7 – Organizația a implementat proceduri care sunt concepute pentru a preveni oferirea, furnizarea sau acceptarea de cadouri, ospitalitate, donații și beneficii similare în cazul în care oferta, furnizarea sau acceptarea este sau poate fi percepută ca mită.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.7 – The organization has implemented 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 be perceived as, bribery.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 The organization has adopted a policy in the area of providing and receiving gifts, hospitality, trainings, sponsorship, community benefits, client representative or public official travel, personal favours etc.
 There is available Procedure for declaring gifts and other benefits from 15.08.2022.
 The gifts policy is available on city Hall web site.
 Company controls the extent and frequency of gifts and hospitality (eg. If the received good has a value greater than 200 Euros must be registered in the Gift Declaration Register No.1/2024) - There are no registered cases)
 Knowledge of policy was checked on interviewed employees: - Pui Ionela, Position: Head of secretariat office - Mayor's Cabinet, demonstrated the knowledge and understanding of this policy.

Art. 8.8 – În cazul în care analiza preventive rezonabila efectuată pe o tranzacție, un proiect, o activitate sau o relație specifică cu un asociat de afaceri specific a stabilit că riscurile de luare de mită nu pot fi gestionate prin controale anti-mită existente, iar organizația nu poate sau nu dorește să implementeze controale anti-mita suplimentare sau mai performante, organizația a luat măsuri pentru a gestiona controale insuficiente de luare de mită în conformitate cu cerințele standard.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.8 – Where the due diligence conducted on a specific transaction, project, activity or relationship with specific business associate has established that the bribery risks cannot be managed by existing anti-bribery controls, and the organization cannot or does not wish to implement additional or enhanced anti-bribery controls, the organization has taken steps to manage insufficient anti-bribery controls according to the standard requirements.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 In practice, such a case has not yet occurred.

Art. 8.9 – Organizația a implementat proceduri conform cerințelor standard care încurajează și permit ridicarea preocupărilor și raportarea luării de mită. Organizația s-a asigurat că tot personalul este la curent cu procedurile de raportare și sunt capabili să le utilizeze și sunt la curent cu drepturile și protecțiile lor.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.9 – The organization has implemented procedures according to the standard requirements that encourage and enable raising concerns and report the bribery. The organization has ensured that all personnel are aware of the reporting procedures and are able to use them, and are aware of their rights and protections.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 The organisation established the method to report in good faith or on the basis of a reasonable belief attempted, suspected and actual bribery, or any violation of or weakness in the anti-bribery management system, to the anti-bribery compliance function or to appropriate personnel (either directly or through an appropriate third party).
 Communication channel for reporting is available also on web site: <https://primariatoplita.ro/>
 These provisions are documented within the procedure Reporting from 15.08.2022.
 There is available for all employees and other interested parties form Anti Bribery Reporting Notice.
 There were no cases registered in monitored period.

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Employees know how to report corruption - verified by an interview with - Pui Ionela, Position: Legal Adviser – OK.

Art. 8.10 – Organizația a implementat proceduri conform cerințelor standard care permit investigarea și tratarea luării de mită.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 8.10 – The organization has implemented procedures according to the standard requirements which enable investigation and dealing with bribery.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 Procedure UAT MT AM 05 Evaluation and treatment of integrity incidents / materialized corruption risks from 15.08.2022 determines how company investigate and deal with any issue of bribery, or violation of anti-bribery controls, which is reported, detected or reasonably suspected.
 The investigation is carried out by, and reported to, personnel who are not part of the role or function being investigated, including external personnel or specialised third parties (e.g. attorneys, consultants, auditors).
 Annual report on integrity incidents for 2023.
 So far, no incentive has been received in this area and therefore no investigation has been conducted.

Art. 9.1 – Măsura și metodele de monitorizare, măsurare, analize și evaluare sunt determinate. Se evaluează performanța și eficacitatea SMAM. Organizația păstrează înregistrări ca dovadă a metodelor și rezultatelor obținute din monitorizare și măsurare.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 9.1 – The extent and methods of monitoring, measurement, analyses and evaluation are determined. Performance and the effectiveness of ABMS is evaluated. The organization retains records as evidence of the methods and results from monitoring and measuring.
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Dovezi obiective privind eșantionul auditat/*Objective evidence on audited sample*
 Results of the monitoring is recorded within the monthly Bribery Monitoring Register – which is reported to the ABMS Responsible. In case of non-compliance, a Nonconformity is raised and handled as per procedural requirements.
 Bribery Monitoring Sheet from 02.03.2024 for month February 2024 (organization follows 14 indicators (Integrity incidents, deviations from ethical norms or from similar provisions intended to protect the integrity of the position, disciplinary sanctions, administrative sanctions, criminal sanctions, requests for money or attention by employees, notifications for offering bribes to employees, notifications for soliciting bribes from employees' side, etc.)
 It was checked:
 Monitored indicator: Number of corruption incidents, expected value= 0; achieved value (January 2024) = 0)
 The results from monitoring and measurement are analysed and evaluated at each annual management review meeting – eg. From 07.09.2023

Art. 9.2 – Auditurile interne sunt efectuate la intervale planificate de către auditori independenți în conformitate cu cerințele standard. Aceste audituri sunt rezonabile, proporționale și bazate pe riscuri. Înregistrările ale rezultatelor auditului sunt păstrate și raportate conducerii relevante, managerului SMAM, conducerii superioare și, după caz, organismului de conducere / dacă este cazul /.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 9.2 – Internal audits are conducted at planned intervals by independent auditors according to the standard requirements. These audits are reasonable, proportionate and risk-based. Records from audit results are retained and reported to relevant management, the ABMS manager, top management and, as appropriate, the governing body /if any/.
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 Internal audits program was submitted for 2023 on 02.08.2022
 Audit was planned and executed on 31.08.2023.
 Findings are recorded in Audit report No 1/31.08.2023 and Nonconformity Reports (3 nonconformity were detected).
 Internal audit was performed by ABT Consultanta in Management SRL. (Auditor: Claudiu Pampu)
 Are available internal auditors: Mindru Aurel, Ciobanu Mihai, Bajko Krisztina and Pui Violeta Ionela (Auditor for ISO 37001:2016/ Certificates from 08.2022 issued by CERTIFICA SRL)
 Audit records are kept – Internal audits plan, Internal audit checklists, Audit reports.
 Elimination of nonconformities – see description in art. 10 (no case).

Art. 9.3 s 9.4 – Managementul de top revizuieste SMAM la intervale planificate. Elementele de intrare ale analizei efectuate de management conțin informațiile cerute de standard. Rezultatele înregistrate includ deciziile și acțiunile cerute de standard. O sinteza a rezultatelor analizei efectuate de management este transmisă organului de conducere / dacă există /. Organul de conducere / dacă există / efectuează revizuirii periodice ale SMAM pe baza informațiilor furnizate de conducerea superioară și managerul SMAM și orice alte informații pe care le obține. Organizația păstrează informații documentate ca dovadă a rezultatelor revizuirilor organelor de conducere. Managerul SMAM evaluează și raportează la intervale planificate și, în funcție de caz, organului de conducere / , dacă este cazul / și de conducere, cu privire la adecvarea	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 9.3 with 9.4 – Top management reviews ABMS at planned intervals. Management review inputs contain information required by the standard. Recorded outputs include decisions and actions required by the standard. A summary of the results of the top management review is reported to the governing body /if any/. The governing body /if any/ undertakes periodic reviews of ABMS based on information provided by top management and ABMS manager and any other information that obtains. The organization retains summary records as evidence of the results of governing body reviews. The ABMS manager assesses and reports at planned intervals and on an ad hoc basis, as appropriate, to the governing body /if any/ and top management, on the adequacy and implementation of the ABMS, including the results of investigations and audits.
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	<h2>Raportul de audit</h2> <p><i>/Audit Report</i></p>	audit executat de partenerul <i>/audit executed by partner</i> QSCert SRL Romania Str Ioan Popasu, Nr. 7, Ap. 6, Brasov, Jud. Brasov www.qscert.ro
	Numele organizatiei, adresa <i>/Organization name, address</i> UNITATEA ADMINISTRATIV TERITORIALĂ - MUNICIPIUL TOPLIȚA Str. N.Balcescu, Nr.14, Toplita, Judetul Harghita	

și implementarea SMAM, inclusiv a rezultatelor investigațiilor și auditurilor.		
Dovezi obiective privind eșantionul auditat/ <i>Objective evidence on audited sample</i> Planned Annually according to Art. 9.3 from AntiBribery Handbook UAT MT MAM 01, from 15.08.2022 Meeting minute - management review from 07.09.2023. Minutes of the meeting regarding anti-corruption management at the level of Toplita City Hall from 31.08.2023, input elements: status of measures from the Integrity Plan, output elements - measures and improvement proposals for ABMS efficiency (eg: obtaining ISO 37001 certification - without major non-conformities)		
Art. 10 – Atunci când apare o neconformitate se efectuează corecții și se întreprind acțiuni corective dacă este cazul și se păstrează informații documentate despre acestea. Eficacitatea acțiunilor corective este analizată și, dacă este necesar, sunt actualizate riscurile și oportunitățile. Organizația îmbunătățește continuu caracterul corespunzător, adecvarea și eficacitatea SMAM.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	Art. 10 – When a nonconformity occurs, correction is done and corrective action is taken when appropriate and records are retained about it. Corrective actions effectiveness is evaluated and if necessary risks and opportunities are updated. The suitability, adequacy and effectiveness of the ABMS is continually improved.
Dovezi obiective privind eșantionul auditat/ <i>Objective evidence on audited sample</i> Central evidence of corrective actions is kept. Corrective actions are taken through internal audit, control, etc. records, assigned to responsible and evaluated in the management review minute, including effectiveness assessment) For Non-conformity – no case Corrective action: - Verification of the implementation and effectiveness of the corrective actions established: -		

Alte constatari <i>/Other findings</i>
-

Îndeplinirea cerințelor ce rezulta din acordarea certificatelor <i>/Fulfillment of requirements resulting from awarded certificate</i>		
<input type="checkbox"/> nu s-a auditat (la auditul de certificare)/ <i>not audited (at certification audit)</i> <input checked="" type="checkbox"/> s-a auditat (la auditul de supraveghere și recertificare)/ <i>audited (at surveillance and recertification audit)</i>		
Corecțiile și acțiunile corective constatate la auditul anterior au fost implementate. În cazul acțiunilor corective, aceste corecții sunt eficiente	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	<i>Corrections for nonconformities found during previous audit were implemented. In case of taken corrective actions are these corrections effective.</i>
Dovezi obiective ale eșantionului auditat/ <i>Objective evidence on audited sample</i> There was no nonconformity detected during previous audit.		
Modul de soluționare a reclamațiilor	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	<i>Form of claims arrangement</i>
Dovezi obiective ale eșantionului auditat/ <i>Objective evidence on audited sample</i> Organization did not receive any complaints or claims.		
Certificatul(e) și referințele de certificare sunt utilizate în cadrul domeniului de activitate pentru care a (au) fost eliberate. Nu sunt folosite în mod greșit.	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	<i>Certificate(s) and references to the certification are used within the scope which they were issued for. They are not used by the misleading way.</i>
Dovezi obiective ale eșantionului auditat/ <i>Objective evidence on audited sample</i> Organization performs only activities within the certified scope.		
Marca(ile) de certificare sunt folosite pentru domeniul de certificare pentru care au fost emise și în concordanță cu regulile de utilizare ale marcii de certificare QSCert (atașamentul nr. 1 al contractului de certificare)	<input checked="" type="checkbox"/> C/C <input type="checkbox"/> NM/SN <input type="checkbox"/> Nm/LSN	<i>Certification mark(s) is used within the scope which it was issued for and in accordance with the rules for usage of the QSCert certification mark (attachment nr. 1 to the certification agreement)</i>
Dovezi obiective ale eșantionului auditat/ <i>Objective evidence on audited sample</i> Certification mark is not used on documents		

4. Informații despre audit/*Information about following audit*

Valabil pentru standardul <i>/Valid for standard</i>	ISO 37001:2016
Auditul în cauză va trebui să se desfășoare în conformitate cu contractul de certificare. În cazul identificării de neconformități va trebui să fie analizat gradul de îndeplinire a măsurilor corective, care sunt înregistrate în rapoartele neconformităților identificate. Dacă sunt identificate oportunități de îmbunătățire trebuie verificat gradul de implementare al acestora./ <i>The subsequent audit shall be conducted according to the Certification Agreement. In a case of discovered nonconformities correction measures fulfillment, which are recorded in reports on detected nonconformities shall be reviewed. If opportunities for improvement are identified, implementation level shall be verified.</i>	
Auditorul șef recomandă	-

Legenda/*Legend*: C/C - Conform */conformity*
 NM/SN – neconformitate majoră */serious nonconformity*
 Nm/LSN – neconformitate minoră */less serious nonconformity*

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concentrarea auditului pe procese sau activitati/ <i>Lead auditor recommends to focus audit on processes or activities</i>	
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Valabil pentru standardul/ <i>Valid for standard</i>	
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QSCert va trebui sa negocieze recertificarea intr-un interval de timp adecvat inainte de expirarea valabilitatii cetificatului <i>/QSCert shall negotiate about recertification within adequate lead-time before certificate validity expiration</i>

5. Concluzii/*Conclusion*

In baza rezultatelor auditului auditorul sef propune */On the basis of audit results the lead auditor proposes to*

To keep awarded the Certificate of the Anti-bribery management system according to ISO 37001:2016 in scope and for locations according to audit program.

Raportul de audit si anexele sale au fost analizate independent si au fost aprobate prin procedurile interne QSCert
/Audit report and its attachments were independently reviewed and approved by internal QSCert procedures