



**GOVERNMENT OF PUDUCHERRY
DEPARTMENT OF AGRICULTURE AND FARMERS WELFARE
PUDUCHERRY**

**ISO 37001:2016
ANTI-BRIBERY MANAGEMENT SYSTEM MANUAL (ABMS)
Version 1.0**

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ANTI – BRIBERY MANAGEMENT SYSTEM MANUAL

1 PROFILE OF THE DEPARTMENT

1.1 About the Department

“The Department of Agriculture and Farmers Welfare, Puducherry” herein referred as “The Department” is a service Department under the administrative control of the Government of Puducherry. The Department focusses on the development of farming and the socio-economic status of the farmers/farm women in the Union Territory of Puducherry with the promotion of latest agricultural technologies, distribution of financial assistance under various State/Central sector, supply of agricultural inputs and agricultural extension services through many verticals like extension, horticulture and engineering wings. The mission is to make agricultural sustainable in the U.T. of Puducherry

The values of the Department are

- Result Orientation: delivery of agricultural services in a timely manner.
- Farmer Focus: think from farmer’s perspective about how the Department can excel in delivery of agricultural services.
- Innovativeness: sourcing new technological solutions for farmers
- Impactful Leadership: inspiring people and exemplifying the culture and common values through a trained leadership.
- Ownership attitude: Make the stakeholders as owners of the system.
- Valuing people: valuing the importance of the farmers/farm women.

1.2 Scope of Certification

The Anti-bribery Management System (ABMS) Manual (hereinafter referred as the “ABMS Manual”) provides the framework for implementing an anti-bribery management system which applies to the Department of Agriculture and Farmers Welfare, Puducherry and affiliated units including the external/third party units associated with its services.

The Department of Agriculture and Farmers Welfare, Puducherry shall ensure that all requirements specified in the ISO 37001:2016 Standard (hereinafter referred as the “ISO Standard”) are implemented, maintained, and continuously improved throughout the organization. The scope of this manual covers all activities both technical and non-technical carried out by the Department of Agriculture and Farmers Welfare, Puducherry and the units under its administrative control.

1.3 Normative References

The Department of Agriculture and Farmers Welfare, Puducherry shall adopt the ISO Standard's requirements based on the latest references or revision according to the ISO Standard.

1.4 Authorization Statement

The main aim and strategy of the Department of Agriculture and Farmers Welfare, Puducherry shall be to establish and maintain the Anti-Bribery Management System according to the manual and implement it to meet the requirements of ISO 37001:2016 Anti-Bribery Management System.

The employees of the Department of Agriculture and Farmers Welfare, Puducherry shall strictly adhere to the procedures and quality policies as such given in this manual.

The Anti-Bribery Management System for the Department of Agriculture and Farmers Welfare, Puducherry shall form a part of the overarching compliance notified by the Central Vigilance Commission and other authorities of the Government of India, from time to time, related to anti-bribery and anti-corruption.

At the state level, the Department shall be monitored by the Chief Vigilance Officer, Puducherry through Secretary to Government (Agriculture), the administrative Secretary to Government, Puducherry. At the Department level, the Director of Agriculture & Farmers Welfare, Puducherry shall be the official responsible and the Regional Compliance Officer ("RCO") shall be all the Heads of Offices in Puducherry, Karaikal, Mahe and Yanam regions. The Head of Department and RCOs shall be responsible for confirming the consent of Anti-Bribery requirements specified in this manual and also to ensure the quality system has been established, implemented and maintained in the Department.

2 Terms and Definitions

The Terms & Definitions applied throughout this ABMS Manual are in accordance with the ISO Standard's fundamentals and for the purposes of the ABMS manual and Standard Operating Systems, the following terms and definitions apply.

2.1 ABMS: Anti-Bribery Management System

2.2 Top Management: Top management refers to the Director of Agriculture and Farmers Welfare, Puducherry and Heads of Offices of all verticals and administrative units

2.3 R/IC: It refers to the Risk and Internal Controls team which supports management to achieve a degree of assurance, although not absolute assurance that laws and regulations are complied with among other functions.

- 2.4 **Compliance Handbook:** The Compliance handbook is the ABMS Manual and shall be read in consonance with other guidelines and regulations of Government of India / Government of Puducherry, issued from time to time.
- 2.5 **Audit:** A process to fulfill audit criteria that includes of systematic, independent, and documented processes to produce audit evidence. It shall be done through an accredited third party.
- 2.6 **Corrective Action:** Action to eliminate the cause of nonconformity and to prevent recurrence.
- 2.7 **Documented Information:** Information that must be controlled and maintained and the medium should be preserved by the organization.
- 2.8 **Risk:** A situation involving precariousness to the organization or its assets.
- 2.9 **Risk and Control Framework (RCF):** It refers to the adequate and effective controls and or processes for the risks and control objectives.
- 2.10 **Anti-Bribery Compliance Function:** Person(s) with responsibility and authority for the operation of the anti-bribery management system.

3 Control and Distribution

3.1 Structure of System Manual

The ABMS manual is prepared based on the requirements of the ISO Standard for Anti Bribery Management Systems. The manual is supported by documented information including Policies and Procedures to establish an Anti-bribery Management System. The list of policies that supports ABMS is referred in this manual in Annexure I to V. The details of the Offices in which ABMS shall be applicable and the organization structure are at Annexure VI and VII respectively.

The manual shall be accessible to the employees of Department of Agriculture and Farmers Welfare, Puducherry and its administrative units in the portal.

The implementation of this manual shall be mandatory for all units of the Department of Agriculture and Farmers Welfare, Puducherry and all of its administrative units. The changes made in this manual shall be effected through document control and must be approved by the administrative Secretary to Government.

3.2 Responsibility

The ABMS manual shall be normally approved by the Secretary to Government (Agriculture), Puducherry and ultimate responsibility, control and maintenance lies with the Department of Agriculture & Farmers Welfare, Puducherry and its administrative units and amendments shall be circulated to the stakeholder to

implement the ABMS.

3.3 Distribution

All Regulations shall be available in the portal of this Department that is freely accessible so that all affected or interested parties have access to the Regulations at all times. As part of their supervisory duties, Heads of Offices must ensure that all employees are informed of new, updated, and invalidated Regulations that affect them.

3.4 Numbering and Document Control for System Manual

- The ABMS Manual shall be clearly segmented with titles and subtitles understandable to the stakeholders with no possibilities for misunderstanding.
- Amendments to the ABMS manual shall be recorded in the Amendment Record Sheet or alternatively the version number may be indicated in the first page to connote the updates, and revisions/amendments may be indicated appropriately.

4 Context of the Organization

4.1 Understanding the Organization and its Context

The Department of Agriculture and Farmers Welfare, Puducherry focuses on the delivery of agricultural services which includes advisory services on latest technologies for various crops and financial assistance under various schemes operated by the State/Central Government.

Implementing the Anti-bribery management system, with the ISO standard does not absolve the Department of Agriculture and Farmers Welfare, Puducherry from bribery-related liabilities, it shall provide assurance and evidence in the event of an investigation that the Department of Agriculture and Farmers Welfare, Puducherry has taken reasonable steps to prevent wrongdoing.

The Department of Agriculture and Farmers Welfare, Puducherry shall determine the external and internal issues that may affect the ability to achieve its ABMS objectives. The Department of Agriculture and Farmers Welfare, Puducherry shall also identify other applicable laws, if any, related to corruption and bribery. The Department shall follow the general financial rules in terms of procurement of goods and services as notified by the Government of India from time to time and shall submit itself to all the acts and rules of the relevant services. It shall further comply with the executive orders of the Government of Puducherry issued from time to time.

Internal / External Issues

<u>Description of Issue</u>	<u>Type of Issue</u>
➤ Gifts & Hospitality	External
➤ Sponsorships, donations, charitable contributions, and memberships	External
➤ Financial assistance Internal/External Projects of Government of Puducherry/ Government of India	Internal/External
➤ Compliance requirements of third parties	External
➤ Licenses	Internal/External
➤ Procurement of goods and services	Internal/External

4.2 Understanding the needs and expectations of the Stakeholders

The Department of Agriculture and Farmers Welfare, Puducherry shall determine the stakeholders who/which are relevant to its anti-bribery management system as well as the relevant requirements of these stakeholders. These stakeholders are generally, but not limited to as listed below:

1. Farmers / Farm Women
2. Regulators and Govt. organization
3. Distributors, dealers, or others involved in the supply chain in agricultural inputs and services.
4. Suppliers and job work contractor related to agricultural services/office work
5. Employees
6. Heads of Offices and administrative units and all employees.

The list is only indicative and the Head of the Department shall bring any individual /institution under the ambit.

4.3 Determining the Scope of the Anti-Bribery Management System

The Department of Agriculture and Farmers Welfare, Puducherry shall determine the scope of the Anti-Bribery Management System and shall extend the same to all units and subsidiaries.

The units of the Department of Agriculture and Farmers Welfare, Puducherry shall refer to: Directorate of Agriculture & FW; Offices of the Addl. Director of Agriculture (T&V), Puducherry/ Karaikal ; Officers of the Addl. Director of Agriculture (Horticulture)/ (LUP&QC) ; Deputy Directors of Agriculture, Mahe/Yanam ; Deputy Director (AE), Government Agricultural Engineering Workshop and Hydrogeologist, State Ground Water Unit ; Chief Seed Certification Officer, Pondicherry Seed Certification Agency,

Programme Co-ordinator, Perunthalaivar Kamaraj Krishi Vigyan Kendra, Puducherry, Programme Co-ordinator, Krishi Vigyan Kendra, Karaikal, Dean, Pandit Jawaharlal Nehru College of Agriculture & Research and Chief Executive Officer, Pondicherry Agricultural Workers Welfare Society and Secretary Pondicherry Market Committee / Karaikal Market Committee.

The list is only indicative and the Head of the Department shall bring any individual /institution under the ambit.

While determining the scope for ABMS the following shall be considered:

- a) The external and internal issues as listed in above para 4.1 above;
- b) The requirements of relevant stakeholders as listed in above para 4.2 above;
- c) The ABMS manual applicable to the Department of Agriculture and Farmers Welfare, Puducherry shall be integrated with the existing Compliance framework of the Government of India.
- d) All the requirements of the ISO Standard shall be applicable for the activities and scope covered as above and documented in this ABMS Manual.

4.4 Anti-bribery Management System and its Processes

The Department of Agriculture and Farmers Welfare, Puducherry shall establish the ABMS as described in this ABMS Manual in consonance with guidelines of Government of India/Government of Puducherry. It shall be implemented, maintained, and continually improved in accordance with the requirements of the ISO Standard. Further, the ABMS manual shall contain measures designed to identify and evaluate the risk of, and to prevent, detect and respond to, bribery. The Department shall define reasonable and proportionate guidelines and processes to Prevention, Detection and Response to bribery and corruption risks.

4.5 Bribery Risk Assessment

4.5.1 The Department of Agriculture and Farmers Welfare, Puducherry shall undertake Bribery Risk Assessment periodically as a part of the overall Compliance Risk Assessment (“CRA”). A regular CRA shall be performed by the Directorate of Agriculture & Farmers Welfare, Puducherry either independently or through an accredited agency/institution once in every two years based on through Key Performance Indicators.

The Compliance Risk Assessment shall support in:

- a) Identifying potential compliance-related risks (including Bribery and Corruption risks) beyond those already mitigated by existing compliance circulars, tools, and controls
- b) Considering risks that arise from the inappropriate implementation of existing

- circulars, and processes
 - c) Analyzing and evaluating those risks
 - d) Deciding whether to avoid, reduce, transfer, or accept certain risks
 - e) Determining mitigation measures to control or eliminate those risks
 - f) Incorporating the Department's experience from investigations, audit findings and other deficiencies to help identify sources of potential compliance-related risks;
 - g) Gaining a clear understanding of possible underlying compliance risks related to anti-corruption, antitrust, human rights, and anti-money laundering.
- 4.5.2 The bribery risks identified in the Compliance Risk assessment shall be divided in to high, medium, and low as a part of planning.
- 4.5.3 The Department of Agriculture and Farmers Welfare, Puducherry shall retain documented information in the form of CRA which includes the risks identified and proposed mitigation measures for the same.

5. Leadership

5.1 Leadership and Commitment

5.1.1 Administrative Body

The Chief Secretariat (Agriculture) shall be the Administrative Body and it shall demonstrate leadership and commitment with respect to the anti-bribery management system in the Department and its administrative units by:

- a) Approving the organization's anti-bribery policy;
- b) Ensuring that the organization's strategy and anti-bribery policy are aligned;
- c) At planned intervals, receiving and reviewing information about the content and operation of the organization's anti-bribery management system;
- d) Requiring that adequate and appropriate resources needed for effective operation of the anti-bribery management system are allocated and assigned;
- e) Exercising reasonable oversight over the implementation of the organization's anti-bribery management system by the Head of Department / Head of Offices/autonomous bodies and its effectiveness.

5.1.2 Top Management

The Top Management shall refer to the Director of Agriculture and Farmers Welfare and the Heads of Offices at the Department/Office levels and administrative units respectively. The top management shall deliver as given below.

- i. Comply with the guidelines of the Government of India and Government of Puducherry.
- ii. Taking accountability on the effectiveness of the ABMS and review the

objectives from time to time as defined in risk and internal control frame work.

- i. The Anti-bribery policies and procedures shall be documented and provided to all the employees and the Department Units shall ensure the posting of the manual in the public domain.
- ii. The Department and its administrative units shall ensure ABMS requirements into the business processes and employ all the required business processes re-engineering.
- iii. Promoting awareness of the process approach among the stakeholders.
- iv. Communicating the importance of system management conforming to ABMS requirements during internal meetings so that the intended results are achieved and the same may be verified with the help of internal audits.
- v. Encourage use of online services to comply with ABMS.
- vi. Ensure that no stakeholder will suffer retaliation, discrimination or disciplinary action, made in good faith or for refusing to engage in bribery.

5.2 Policy

5.2.1 Establishing the Anti-bribery Policy

The Department of Agriculture and Farmers Welfare, Puducherry shall integrate the Anti-bribery and Anti-corruption policy approved by the Secretary to Government (Agriculture) in the ABMS Manual that

- Prohibits bribery and corruption
- Requires compliance with anti-bribery laws that are applicable to the Department and its units
- Provides a framework for setting, reviewing, and achieving anti-bribery objectives
- Encourage arising concerns in good faith, or on the basis of a reasonable belief in confidence, without fear of reprisal
- Include a commitment to continual improvement of the anti-bribery management system
- Explain the authority and independence of the anti-bribery compliance function
- Explain the consequences of not complying with the anti-bribery policy

5.2.2 Communicating the Anti - Bribery Policy

The Anti-Bribery Policy shall be documented and uploaded in the portal of the Department of Agriculture & Farmers Welfare, Puducherry.

- Providing training / orientation to all the existing employees as part of their Anti-Bribery and Anti-Corruption training.
- Signed by all the employees at the time of joining post their Induction training, if new recruits are effected by the Government of Puducherry / Department as the case may be.

5.3 Organizational Roles, Responsibilities and Authorities

5.3.1 Roles and Responsibilities

The top management shall assign relevant roles to the employees as defined in the organization structure. The job description for each of the employees shall be prepared with authority and responsibility.

5.3.2 Anti-Bribery Compliance Function

The Head of the Department shall delegate to all the Heads of Offices, the following responsibilities

- Overseeing and coordinating the implementation of the ABMS Guidelines, including any applicable updates and modifications which are proposed as a pack of updating ABMS manual, in their respective offices.
- Providing advice and guidance to personnel on the anti-bribery management system and issues relating to bribery
- Ensures that inputs are given to the Director of Agriculture & Farmers Welfare, Puducherry so that the ABMS manual is updated based on relevant changes within their Government processes, and tools.
- Ensures that the anti-bribery management system as part of the overall compliance framework conforms to the requirements of this document.

5.3.3 Delegated Decision-Making

- The Department of Agriculture and Farmers Welfare, Puducherry shall establish and maintain a decision-making process or set of controls in such a way that the decision process and the level of authority of the decision-maker are appropriate and free of actual or potential conflicts of interest.
- This decision-making process shall be reviewed periodically as part of its role and responsibility for implementation of, and compliance with, the anti-bribery management system.

6 Planning

6.1 Actions to Address Risks and Opportunities

The Department of Agriculture and Farmers Welfare, Puducherry shall consider the internal and external issues under clause 4.1, the requirements of the stakeholders listed under clause 4.2, the risk identified in clause 4.5 and opportunity for improvement that are needed to be addressed during the periodic compliance risk assessment. The preventive actions and controls shall be identified in the Compliance Risk Assessment process with the following objectives:

- To identify and evaluate existing or potential compliance risks together with the business processes
- To define mitigation measures accordingly
- To create awareness and emphasize responsibility of the management for compliance risks in business
- To ensure that Anti-bribery management system can achieve its intended outcome;
- To enhance desirable effects.
- To prevent, or reduce, undesired effects relevant to the anti-bribery policy and objectives.
- To achieve continual improvement.
- To monitor and evaluate the effectiveness of these actions.

6.2 Anti-bribery Objectives and Planning to Achieve Them

- 6.2.1 The Anti-bribery objectives shall be prepared based on the guidelines of the Central Vigilance Commission and other guidelines of Government of India, issued from time to time, which are measurable, achievable and considering applicable factors referred to in section 4.1, the requirements referred to in section 4.2 and the bribery risks identified in section 4.5. The measures shall
- a) inculcate integrity, transparency, and accountability in all aspects of governance
 - b) provide information and guidance to the personnel on how to detect, prevent and respond to any form of corruption;
 - c) promote the Department of Agriculture and Farmers Welfare, Puducherry's ABMS to all stakeholders and third party vendors and ensure compliance to all applicable laws and related procedures set out by the ABMS;
 - d) advocate a culture of integrity by providing channels for reporting of any suspected corruption acts and improper conducts;
 - e) protect the Department of Agriculture and Farmers Welfare, Puducherry's reputation and its stakeholders by applying adequate procedures for the mitigation of bribery and corruption risks; and
 - f) put in place sustainable efforts to eradicate corruption towards achieving zero-corruption status.

7 Support

7.1 Resources

The Department of Agriculture and Farmers Welfare, Puducherry shall identify resource requirements and provide timely resources in terms of qualified personnel, infrastructure, and automation system for effective implementation of ABMS.

7.2 Competence

7.2.1 General

The Department of Agriculture and Farmers Welfare, Puducherry shall identify the competence of employees performing activities affecting the ABMS performance based on periodic performance review and provide necessary trainings for their staff for upgrading their knowledge and achieve the necessary competency.

During the hiring of employees at any position, the following procedures shall be followed:

- a. The needs of the position are defined,
- b. Prior approval for engagement obtained from competent authority.
- c. Shall be placed in the public domain, in the portal of the Department and the recruitment shall be through online tendering process.
- d. Screening of all applicants shall be based on specific criteria of qualifications, experience, aptitude, and measurable skills as fixed by the Government/Scheme guidelines.
- e. The eligible candidates are interviewed
- f. Relevant background verification checks are performed based on the Job requirements and the guidelines.

7.2.2 Employment Process

The Department shall comply with the employment procedures of Government of India / Government of Puducherry as and when notified by the competent authority and shall further ensure that such procedures are in compliance with ABMS and this shall apply even for contractual engagements for any technical/non-technical services under the Budget of the Government of Puducherry/Government of India.

7.3 Awareness and Training

The employees of the Department and its administrative units shall be provided with anti-bribery awareness and training at planned intervals as appropriate to their roles. Such training shall address the following issues, as appropriate:

- the organization's anti-bribery policies, procedures and overall compliance system including the anti-bribery management system, and their duty to comply
- the bribery risk and the damage to them and the organization which can result from bribery
- the circumstances in which bribery can occur in relation to their duties, and how to recognize these circumstances
- how to recognize and respond to solicitations or offers of bribes
- how they can help prevent and avoid bribery and recognize key bribery risk

indicators

- their contribution to the effectiveness of the anti-bribery management system, including the benefits of improved anti-bribery performance and of reporting suspected bribery have been covered in multiple sections throughout the trainings
- the implications and potential consequences of not conforming with the anti-bribery management system requirements
- how and to whom they are able to report any concerns.

7.4 Communication

7.4.1 The communication plan shall between the Top Management and other employees/stake holders shall include the following in relation to the Anti-Bribery and Anti-Corruption policies stated in the ABMS Manual:

- a) On what is to be communicated – shall cover on ABMS or the risk factors identified.
- b) When to communicate – as and when required.
- c) With whom to communicate the stakeholders.
- d) How to communicate – Generally the communication shall be undertaken through e-mails, periodic Compliance newsletters and workshops. Physical posters shall also be affixed throughout offices and sites to ensure awareness with the specified policies and procedures.
- e) Who communicates – The communication shall be undertaken by Top Management of the Department and its administrative units.
- f) The languages in which to communicate – The primary language of Departmental communication being English, it shall be normally so. But, Regional languages may also be used for specific campaigns.

7.5 Documented Information

7.5.1 General

The Department of Agriculture and Farmers Welfare, Puducherry through Online shall establish agricultural services, document, implement, and maintained an Anti-bribery management system and shall continually improve its effectiveness in accordance with the requirements of ISO 37001:2016.

7.5.2 Control of Documented Information

All the documented information relating to the ABMS requirements shall be controlled as below.

- a) Reviewed for adequacy and are approved by authorized persons.
- b) Documents shall be updated as necessary, reviewed and re-approved by the same

authority. Such revisions indicated in the revised manual.

- c) The respective Heads of Offices shall be responsible for ensuring that the latest relevant versions of applicable documents are available at point of use where and when it is needed. They shall also ensure that documents remain legible, readily identifiable, and retrievable. Such documented information is also protected from loss of confidentiality, improper use, or loss of integrity.

8 Operation

8.1 Operational Planning and Control

The Department of Agriculture and Farmers Welfare, Puducherry shall plan, implement, review, and control the processes as defined below to meet requirements of the ABMS, and to implement the actions determined in section 6.1 above. These processes for Compliance of functions shall be put in place by the Directorate of Agriculture & FW, Puducherry in order to ensure that the Business Conduct Guidelines anti-corruption measures are fully unambiguous in respect of

- a) Gifts and Hospitality
- b) Compliance requirements of third parties
- c) Financial assistance under various schemes of Government of Puducherry/ Government of India.
- d) Farmer projects / Scheme Projects
- e) Compliance Risk Assessment

The administrative secretariat shall review the adequacy and effectiveness of The Department of Agriculture and Farmers Welfare, Puducherry's planning, implementation, review, and control processes, which is needed to meet the requirements of ABMS, and to implement the actions determined in Clause 6.1.

The Department of Agriculture and Farmers Welfare, Puducherry shall periodically undertake review of such processes as part of Compliance Risk Assessment, Compliance Control framework, R/IC assessments and Internal Audits.

The Department of Agriculture and Farmers Welfare, Puducherry shall ensure that outsourced processes are controlled. Proper control is established at the evaluation stage to ensure that they are committed to implement related anti-bribery actions as defined in ABMS Manual. Also, in the agreements entered with agencies enlisted for procurement of services/materials, relevant clauses are input and communicated to them in relation to guidelines and policies of Anti-bribery and Anti-Corruption.

8.2 Due Diligence

The Department of Agriculture and Farmers Welfare, Puducherry shall assess the nature and extent of the bribery and corruption risk among other risks in relation to specific transactions, projects, activities, business partners and personnel falling within those categories during the Compliance Risk Assessment.

8.3 Financial Controls

The Department of Agriculture and Farmers Welfare, Puducherry shall implement financial controls to manage financial transactions properly and to record these transactions accurately, completely and in a timely manner which shall include:

- a. Implementing a segregation of duties, so that the same person cannot both initiate and approve a payment
- b. Implementing appropriate tiered levels of authority for payment approval (so that larger transactions require more senior management approval)
- c. Requiring at least two signatures on payment approvals as defined in the Signature matrix
- d. Requiring the appropriate supporting documentation to be annexed to payment approvals
- e. Restricting the use of cash and implementing effective cash control methods
- f. Requiring that payment categorizations and descriptions in the accounts are accurate and clear
- g. Requiring online payments to beneficiaries under various schemes by the Department as well remittances by service providers.

8.4 Non-Financial Controls

The Department of Agriculture and Farmers Welfare, Puducherry shall implement non-financial controls to manage bribery risk with respect to such areas as procurement, human resources, legal and regulatory activities through

- a) Requiring the vendors / service providers to demonstrate and document interactions with the government officials.
- b) using approved / empanelled contractors, sub-contractors, suppliers, and consultants that have undergone a pre-qualification process under which the likelihood of their participating in bribery is assessed
- c) awarding contracts, where possible and reasonable, only after a fair and, where appropriate, transparent competitive tender process between competitors has taken place
- d) implementing a separation of duties, so that personnel who approve the

placement of a contract are different from those requesting the placement of the contract and are from a different department or function from those who manage the contract or approve work done under the contract

- e) protecting the integrity of tenders and other price-sensitive information by restricting access to appropriate people
- f) providing appropriate tools and templates to assist personnel to prevent bribery.

8.5 Implementation of Anti-Bribery Controls by Department Controlled Organization

For all vendors / service providers, the Department of Agriculture and Farmers Welfare, Puducherry shall implement procedures which require that, as far as practicable:

- a) Vendors / service provider commit to preventing bribery by, on behalf of, or for the benefit of the business associate in connection with the relevant transaction, project, activity, or relationship
- b) While onboarding of a new vendor /service provider, the Department of Agriculture and Farmers Welfare, Puducherry shall require the vendor/service provider to provide and Supplier code of conduct.
- c) The Department shall be able to terminate the relationship with the vendor / service provider in the event of bribery by, on behalf of, or for the benefit of the business associate in connection with the relevant transaction, project, activity, or relationship.

8.6 Anti-Bribery Commitments

For vendors / service providers who pose more than a low bribery risk, the Department of Agriculture and Farmers Welfare, Puducherry shall implement procedures which require, as far as practicable:

- a) The vendors / service provider are informed by the Department of Agriculture and Farmers Welfare, Puducherry team to ensure compliance with Code of Conducts applicable to them and are also required to abide by the binding provisions and clauses stated in the agreement entered with the Department.
- b) The organization shall be able to terminate the relationship with the vendor/ service provider in the event of bribery by, on behalf of, or for the benefit of the vendor / service provider in connection with the relevant transaction, project, activity, or relationship.

8.7 Gifts, Hospitality, Donations and similar benefits

The Department shall put in place the control mechanism to prevent the offer, provision or acceptance of gifts, entertainment, travel, sponsorship and donations were the offering, provisions or the acceptance is or could reasonably be perceived as bribery. Similar controls shall also be placed for acceptance of such gifts by the employees.

8.8 Managing Inadequacy of Anti-Bribery Controls

Where the due diligence conducted on a specific transaction, project, activity, or relationship with a vendor / service provider establishes that the bribery risks cannot be managed by the Department's existing anti-bribery controls, and the vendor / service provider cannot or does not wish to implement additional or enhanced anti-bribery controls or take other appropriate steps to manage the relevant bribery risks, the Department shall:

- a) in the case of an existing transaction, project, activity, or relationship, take steps appropriate to the bribery risks and the nature of the transaction, project, activity, or relationship to terminate, discontinue, suspend, or withdraw from it as soon as practicable;
- b) in the case of a proposed new transaction, project, activity, or relationship, postpone or decline to continue with it.

8.9 Raising Concerns

The Department of Agriculture and Farmers Welfare, Puducherry shall define and implement procedures in the Department for raising concerns on anti-bribery by the employees, which includes the following:

- a) Encourage and enable persons to report in good faith or on the basis of a reasonable belief any 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 proper channel);
- b) except to the extent required to progress an investigation, require that the organization treats reports confidentially, so as to protect the identity of the reporter and of others involved or referenced in the report
- c) allow anonymous reporting but it shall be supported by facts.
- d) prohibit retaliation, and protect those making reports from retaliation, after they have in good faith, or on the basis of a reasonable belief, raised or reported a concern about attempted, actual or suspected bribery or violation of the anti-bribery policy or the anti-bribery management system;
- e) enable personnel to receive advice from an appropriate person on what to do if faced with a concern or situation which could involve bribery

8.10 Investigating and Dealing with Bribery

The Department of Agriculture and Farmers Welfare, Puducherry shall define and implement procedures for investigation and dealing with bribery in the Compliance Handbook which includes the following:

- a) Require assessment and, where appropriate, investigation of any bribery, or violation of the anti-bribery policy or the anti-bribery management system, which is reported, detected, or reasonably suspected
- b) Require appropriate action in the event that the investigation reveals any bribery, or violation of the anti-bribery policy or the anti-bribery management system
- c) Empower and enable investigators
- d) Require co-operation in the investigation by relevant personnel
- e) Require that the status and results of the investigation are reported to the anti-bribery compliance function and other compliance functions, as appropriate
- f) Require that the investigation is carried out confidentially and that the outputs of the investigation are confidential.

9 Performance Evaluation

9.1 Monitoring, Measurement, Analysis and Evaluation

- a) The Department of Agriculture and Farmers Welfare, Puducherry shall monitor the compliance of Central Vigilance Commission guidelines and other extant rules of the Government of India/ Government of Puducherry in force that prevent corruption and measure the effectiveness of the guidelines and policies for Anti-Bribery and Anti-corruption detailed in the Compliance Handbook.
- b) The monitoring and measurement shall be conducted by the Department of Agriculture and Farmers Welfare, Puducherry's as defined in the Compliance handbook.
- c) The method for monitoring, measurements, analysis and evaluation of the guidelines and policies shall be guided by the Compliance Risk Assessment, R/IC methodology and Internal Audit methodology.
- d) The results from the monitoring, measurements, analysis, and evaluation shall be reported according to the relevant procedures associated with the Compliance Risk Assessment, R/IC methodology and Internal Audit methodology.

The Department of Agriculture and Farmers Welfare, Puducherry shall retain appropriate documented information as evidence of the methods and results. The Department of Agriculture and Farmers Welfare, Puducherry shall also evaluate the performance, effectiveness, and efficiency of the ABMS annually including an external assessment by the certification body conducted yearly as part of the ISO37001:2016 ABMS certification surveillance audit.

9.2 Internal Audit

- 9.2.1 The Department shall conduct annual audits, either in-house or through a third party, at defined intervals to provide information on whether the anti-bribery management system which conforms to

- the organization's own requirements for its anti-bribery management system and
 - the requirements of this document
- i. Plan, establish, implement, and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;
 - ii. define the audit criteria and scope for each audit;
 - iii. select competent auditors and conduct audit to ensure objectivity and the impartiality of the audit process;
 - iv. ensure that the results of the audits are reported to relevant management to the top management as appropriate.
 - v. retain documented information as evidence of the implementation of the audit programme and the audit results.
 - vi. These audits shall be reasonable, proportionate and risk based. Such audits shall consist of internal audit processes or other procedures which review procedures, controls, and systems for:
 - a. bribery or suspected bribery;
 - b. violation of the anti-bribery policy or anti-bribery management system requirements;
 - c. failure of vendors/service providers to conform to the applicable anti-bribery requirements of the organization;
 - d. Weaknesses in, or opportunities for improvement to, the anti-bribery management system.
 - vii. As per the IA charter the Department shall have the responsibility and mandate to:
 - a. Maintain a professional audit staff either own or outsourced with sufficient knowledge, skills, experience, and professional certifications (where required) to meet the requirements of this Charter.

9.3 Management Review

9.3.1 Top Management Review

The Department of Agriculture and Farmers Welfare, Puducherry ABMS and the Heads of Offices of administrative units shall establish and systematically review for its continuous suitability and effectiveness in confirming the requirements of ISO 37001:2016. The review shall include verifying the implementation of the policies, guidelines and processes for Anti-bribery and Anti-Corruption and to identify any area,

which requires improvement, and evaluate need for changes for effective functioning of the system.

9.3.2 Administrative Body Review

The Chief Secretariat (Agriculture), Puducherry shall systematically review the ABMS in the Department for its continuous suitability and effectiveness in confirming the requirements of ISO 37001:2016.

10 Improvement

10.1 Non-conformity and Corrective Action

The Head of the Department responsible for overall compliance of ABMS control frame work and the R/IC units headed by the Heads of Offices and administrative units shall assist the Head of Department for conducting the compliance controlled framework review. The IA unit shall be responsible for assessing whether observations on the implementation of ABMS are to be documented and reported and shall closely co-ordinate with the compliance and R/IC units.

10.2 Continual Improvement

The Department shall continually assesses and consider the results and output of the assessments carried out by the Head of Department and Head of Offices of all verticals and administrative units to improve the ABMS.

The continual improvement of ABMS shall be facilitated through the use of Anti-bribery policy, objectives, and audit results, analysis of data, corrective action, and output of management review to determine need or opportunities to be identified as a part of continual improvement.

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ANNEXURE – LIST OF DOCUMENTS THAT SUPPORT ABMS

S. No.	Title of the documents
1.	Circular issued by the Chief Vigilance Officer, Puducherry
2.	Constitution of Steering Committee and Implementation Committee for taking policy decisions – Order
3.	Guidelines for the implementation of AGRISTACK Notification
4.	Legal and statutory requirements for deliverables/product realization and Roles and Responsibilities of Officials involved in public services
5.	Presentation on the Online delivery of agricultural services
6.	List of Offices of the Department of Agriculture & Farmers Welfare and administrative units
7.	Organization Chart of Department of Agriculture

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