

**Accreditation Criteria**  
**For**  
**Anti-bribery Management Systems Certification Bodies**  
**BCB 175 – Aug 2020**



# National Accreditation Board for Certification Bodies

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## 0.0 Foreword:

The Government of India and the Indian Industry came together to establish the accreditation system in response to the need of the industry and the certification bodies of Management Systems (QMS, EMS and other Management Systems) who were largely dependent on the accreditation systems of Europe and US.

A Council with representation from Government, Industry, Certification Bodies, Non-Government Organizations (NGO), etc. was formed and named as the **Quality Council of India (QCI)**. This Council was entrusted with the task of establishing the accreditation system in India. A **National Accreditation Board for Certification Bodies (NABCB)** was established to implement the accreditation of Certification and Inspection Bodies.

NABCB has already published Accreditation Criteria for QMS, EMS, FSMS, OHSMS, ISMS, ITSMS, EnMS, RTSMS, TDRMS, BCMS, AMS and Product Certification Bodies, Inspection Bodies and Validation & Verification Bodies. This document sets out the Accreditation criteria for Certification Bodies providing certification for “Asset management Systems based on **ISO 37001- Anti-bribery management systems — Requirements with guidance for use** standard or any other standard meeting the requirements of the NABCB Policy on recognition of standards under accreditation schemes for certification.

## 1.0 Scope:

This document specifies the requirements that a third party certification body (CB) operating a ABMS Certification Programme shall meet if it is to be recognized by the Board as competent and reliable in the operation of ABMS Certification.

## 2.0 Criteria

The Certification Bodies seeking accreditation for **Anti-bribery Management Systems** Certification shall comply with the requirements specified in **ISO/IEC 17021-1 - “Conformity assessment — Requirements for bodies providing audit and certification of management systems”** and **ISO/IEC TS 17021-9 – “Competence requirements for auditing and certification of Anti-bribery management systems”**.

## 3.0 Adoption of IAF/APAC documents

The Board shall adopt any IAF/APAC Mandatory Document on ISO 17021-1 as part of the NABCB criteria, if available or whenever it is brought out. In the meantime, if any further clarifications beyond ISO 17021-9 or ISO/IEC 17021-1 are required, the same will be issued by the Board on a case to case basis.

## 4.0 Scopes of Accreditation

The Board has decided not to specify any scope sectors for accreditation under this scheme

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## 5.0 Certification Body (CB) Competence

5.1 Accreditation by NABCB signifies that the certification body is competent to offer ABMS certification as per ISO 37001.

5.2 The CB shall have a procedure for initial qualification and subsequent monitoring of its auditors and technical experts based on Annex-A of ISO/IEC 17021-1 and ISO/IEC TS 17021-9 Standards.

## 6.0 Time of the Audits undertaken by the Certification Body

6.1 The Board has adopted the IAF Mandatory Document IAF MD 05 and its provisions on the audit man days that are normally required for audit to verify compliance to ISO 37001 standard till such time ISO or IAF published any Standard / documents and comes into force by IAF.

6.2 The Certification body shall have procedures to determine the audit man days required for certification audit (stage 1 & 2), surveillance and recertification audit. The procedure shall also include the policies for estimation of audit duration for multisite organizations and transfer of certificates, as needed. In determining the audit time, the certification body shall include factors like complexity category of ABMS risk, significance of legal (statutory and regulatory) compliance and number of effective personnel as a minimum.

6.3 IAF MD 5 and IAF MD 11 (if applicable) shall be used. The following table ABMS 1 is applicable, with reduction factors not applicable.

**Table ABMS 1 - Relationship between Effective Number of Personnel, Complexity Category of ABMS Risk and Audit Time (Initial Audit only – Stage 1 + Stage 2)**

Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)			Effective Number of Personnel	Audit Time Stage 1 + Stage 2 (days)		
	High	Med	Low		High	Med	Low
1-5	3	2.5	2.5	626-875	17	13	10
6-10	3.5	3	3	876-1175	19	15	11
11-15	4.5	3.5	3	1176-1550	20	16	12
16-25	5.5	4.5	3.5	1551-2025	21	17	12
26-45	7	5.5	4	2026-2675	23	18	13
46-65	8	6	4.5	2676-3450	25	19	14
66-85	9	7	5	3451-4350	27	20	15
86-125	11	8	5.5	4351-5450	28	21	16
126-175	12	9	6	5451-6800	30	23	17
176-275	13	10	7	6801-8500	32	25	19
276-425	15	11	8	8501-10700	34	27	20

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426-625	16	12	9	>10700	Follow progression above
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**Note 1:** Audit time is shown for audits at high, medium and low complexity category of ABMS risk.

**Note 2:** The numbers of personnel in Table ABMS 1 should be seen as a continuum rather than a stepped change. If drawn as a graph, the line should start with the values in the lower band. The starting point of the graph should be personnel of one attracting 2,5 days. See clause 2.2 of IAF MD 05 for dealing with parts of a day.

**Note 3:** The CAB's procedure may provide for calculation of audit time for a number of personnel exceeding 10700. Such time should follow the progression in Table ABMS 1 in a consistent fashion.

**6.4 Complexity Category of ABMS Risk** to be evaluated on the basis of the following:

For ABMS, the provisions specified in this document are based on three primary complexity categories based on the following risk factors:

- geographical location (degree of perceived risk in the geographical location/ country of operations as per Corruption Perception Index),
- organisation background (number of legal cases in a defined period) and;
- business sector (degree of perceived risk in the Business sector as per Bribery Payer Index).

The following Complexity Categories are based on ABMS risks of an organization which fundamentally affect the audit time. These are:

**High**– ABMS with significant risks (typically operations in low Corruption Perception Index (CPI) countries, background of bribery cases and business sectors which are low on bribery index);

**Medium**– ABMS with medium risks (typically operations in medium CPI index countries, no background of bribery cases and business sectors which are medium range on bribery index);

**Low**– ABMS with low risks (typically operations in high CPI index countries, no background of bribery cases, SMEs and business sectors which are high on bribery index);

In case, the individual risk factors for an organisation indicate different complexity categories, the highest complexity category shall be applicable e.g a power distribution organisation which is located and has operations in India should be categorised in the Complexity Category-High.

**Note4:** CPI Score is the 'Corruption Perception Index', an indicator of corruption that scores countries/territories based on perceived corruption and published by Transparency International. The CPI score and ranks of countries are available on weblink <https://www.transparency.org/en/cpi>

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*Note5: Bribery Payer Index is based on the 'Bribery in Business Sectors' report of Transparency International that identifies and ranks various business sectors on likelihood of bribes being paid. The BPI ranking 2011, published by Transparency International is available on weblink <https://www.transparency.org/en/publications/bribe-payers-index-2011>*

Table ABMS 1 covers the above three top complexity categories: high, medium, and low. Table ABMS 2 provides the link between the three complexity categories above and the geographical and business sectors that would typically fall into that category.

**TABLE ABMS 2 - Examples of Linkage between Geographical Location, Organisation Background, Business Sectors and Complexity Categories of ABMS Risks**

<b>Complexity Categories of ABMS Risks</b>	<b>Risk Factors</b>
<b>High</b>	<p><b>Geographical Location</b> - Organisations located in countries with a (CPI) score of less than or equal to 30. In cases of companies based in a number of countries coming within the scope of the certificate, the index of the country with the lowest score is applicable.</p> <p><b>Organisation Background</b> If the organization applying for certification has, in the last 5 years, been subject to regulatory action or legal proceedings as a result of alleged breaches concerning corruption/bribery.</p> <p><b>Business Sectors</b></p> <ul style="list-style-type: none"> <li>• Public works contracts and construction</li> <li>• Utilities</li> <li>• Real estate, property, legal and business services</li> <li>• Oil and gas</li> <li>• Mining</li> <li>• Power generation and transmission</li> <li>• Pharmaceutical and healthcare</li> <li>• Heavy manufacturing</li> <li>• Fisheries</li> <li>• Arms, defence and military</li> <li>• Organisations either fully or partially under government control.</li> <li>• Political parties and trade unions</li> </ul>
<b>Medium</b>	<p><b>Geographical Location</b> - Organisations located in countries with a (CPI) score between 31 to 59. In cases of companies based in a number of countries coming within the scope of the certificate, the index of the</p>

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	<p>country with the lowest score is applicable.</p> <p><b>Business Sectors</b></p> <ul style="list-style-type: none"><li>• Transportation and storage</li><li>• Telecommunications</li><li>• Consumer services</li><li>• Forestry</li><li>• Banking and finance</li><li>• Information technology</li><li>• Civilian aerospace</li></ul> <ul style="list-style-type: none"><li>• Trading, intermediation and commercial companies not classifiable as SMEs.</li><li>• Associations, foundations, national boards, NGOs, Not-for-Profit entities (e.g. voluntary organizations, bodies for cooperative activities)</li></ul>
<b>Low</b>	<p><b>Geographical Location</b> - Organisations located in countries with a (CPI) score above 60. In cases of companies based in a number of countries coming within the scope of the certificate, the index of the country with the lowest score is applicable.</p> <p><b>Business Sectors</b></p> <ul style="list-style-type: none"><li>• Light manufacturing</li><li>• Agriculture</li><li>• SMEs</li><li>• Organisations not listed within the high &amp; medium categories</li></ul>

*Note 6: For undated references, the latest edition of the referenced document (including any amendments) applies*

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## Amendment Record

<b>Date</b>	<b>Auth. by</b>	<b>Description of Amendment</b>
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