INASP ANTI-BRIBERY POLICY

Covering
Bribery and Corruption  
Gifts and hospitality  
Conflicts of Interest  
Donations, Sponsorships and lobbying  
Due Diligence  
Financial Controls  
Training and communication  
Seeking guidance and raising concerns  
Responding to concerns raised  
Record keeping
INASP ANTI-BRIBERY POLICY

This policy applies to anyone working for, or delivering work on behalf of, INASP i.e. staff, associates, contractors, volunteers and partners.

Policy Statement

INASP is committed to the highest standards of ethical conduct and integrity in our business activities.

All employees of INASP, and all individuals acting for INASP anywhere in the world, are expected to conduct themselves professionally and within the law.

In particular we take a zero-tolerance approach to bribery and corruption.

INASP does not condone the offering, provision or receiving of any unwarranted reward that is, or could be perceived to be, an inducement for acting improperly in relation to our business.

INASP has introduced an anti-bribery policy for the purposes of managing the risk of bribery occurring in relation to our activities.

This policy statement is a key element of the anti-bribery policy, and any breach of this policy will be treated as a serious breach of INASP’s disciplinary and / or contractual obligations.

INASP will cooperate with law enforcement investigations and reserves the right to refer any breach of this policy to the appropriate authorities.

All employees of INASP, and all individuals acting for INASP, are expected to report any concerns of bribery and to cooperate with investigations.

To demonstrate INASP’s commitment to this policy, INASP has appointed the Finance Director, Mr. Les Haynes as the Anti-Bribery & Corruption Champion. All reports of concerns should be addressed by email to l.haynes@inasp.info or by phone to +44 1865 249909

All reports will be treated in strict confidence.
Introduction

INASP is committed to the highest standards of ethical conduct and integrity in our business activities. All employees and all individuals acting for INASP anywhere in the world, are expected to conduct themselves professionally and within the law. This anti-bribery programme is part of a suite of measures employed to promote and ensure ethical and lawful business conduct.

INASP often operates in higher corruption-risk environments and, as such, has introduced a comprehensive Anti-Bribery Policy (“ABP”) to ensure INASP, as far as is reasonably possible, manages the risk of bribery and corruption occurring in relation to its activities.

This anti-bribery policy describes both INASP’s policy stance and the ABP itself and is a reflection of the Board’s commitment to protecting both INASP and those acting for INASP.

Anti-bribery and anti-corruption laws vary across the world. INASP is, in particular, subject to the UK Bribery Act 2010. This law places strict liability on INASP should anyone associated with it commit bribery anywhere in the world, for the benefit of INASP.

Moreover, individuals who commit violations of the UK Bribery Act can be imprisoned for up to ten years.

INASP’s ABP is designed to protect INASP and those individuals representing INASP, from contravening the law.

To demonstrate INASP’s commitment to this programme, INASP has appointed the Finance Director, Les Haynes, as the Anti-Bribery & Corruption Champion.

SCOPE

This policy and anti-bribery programme applies to all persons working for INASP or on behalf of INASP i.e. Staff, Associates, Contractors, Volunteers and Partners,

In this policy, third party representatives and business partners mean any individual or organization you come into contact with during the course of your work for us, and includes actual and potential clients, customers, suppliers, distributors, business contacts, agents, advisers, and government and public bodies, including their advisors, representatives and officials, politicians and political parties.

This policy does not form part of any employee’s contract of employment and it may be amended at any time.

Aspects of the anti-bribery programme described below, may form part of INASP’s contractual arrangements with non-payroll consultants, agents and other third parties.

PURPOSE

The purpose of this anti-bribery programme framework and policy document is to:
(a) demonstrate the commitment of the Board to the prevention of bribery and corruption;
(b) describe the anti-bribery programme at INASP;
(c) set out personal responsibilities in observing and upholding our position on bribery and corruption; and
(d) provide information and guidance on how to recognize and deal with bribery and corruption issues.
BRIBERY AND CORRUPTION

WHAT IS BRIBERY AND CORRUPTION?
There is no universally accepted definition of bribery. For the purposes of this policy INASP defines bribery to be the offering, provision or receiving of any unwarranted reward that is, or could be perceived to be, an inducement for acting improperly in relation to our business.

Corruption is a wider concept than bribery and is defined in this policy as the abuse of entrusted authority or position for private gain.

Bribery is a criminal offence in almost every jurisdiction and the penalties can be severe. For example, under UK law individuals can face up to ten years imprisonment. In addition to local law, an increasing number of countries are extending the reach of their domestic anti-bribery laws to capture conduct committed abroad. Some countries, including the UK, also legislate for the strict liability of companies where individuals bribe for the benefit of the business e.g. by paying bribes to win contracts.

WHAT IS PROHIBITED BY THIS POLICY?
INASP prohibits employees and associated persons from offering, promising, giving, soliciting or accepting any bribe. The bribe might be cash, a gift or other inducement. Bribes can be offered to, or solicited from, a private individual, a public or government official, official of a state-controlled industry or political party or a private person or company and would be a bribe whether the employee or associated person is situated in the UK or overseas.

For the purposes of this policy it is irrelevant whether the bribe is made to ensure that a person or company improperly performs a duty or function for the benefit of INASP. Improperly performing duties or functions could include not acting impartially or in good faith or in accordance with a position of trust.

For the purposes of this policy it is irrelevant whether the bribe is made or received directly or through a third party.

Acts of bribery are designed to influence the receiver to act in a specific way. The act to be performed by the receiver may not, necessarily, be illegal but could still be a bribe for the purposes of this policy.

FACILITATION PAYMENTS
INASP prohibits its employees or associated persons from making or accepting any facilitation payment. Facilitation payments, or offers of such payments, will constitute a criminal offence under the UK Bribery Act and gross misconduct under INASP’s Disciplinary Procedure.

INASP recognizes that demands for facilitation payments are common place in certain parts of the world. Where a public official has requested such a payment, employees or associated persons should ask for further details of the purpose and nature of the payment in writing. If the official refuses, a request should be made to speak to the official’s manager for clarification of the purpose of the payment. An explanation should be given to the official of both INASP’s rules and the UK anti-bribery law. If the official is persistent immediate contact should be made with a line manager, the Senior Management Team (SMT), or the Anti-Bribery & Corruption Champion.

If the public official does provide written details, the Anti-Bribery & Corruption Champion will consider the nature of the payment. Local legal advice may be sought by INASP. If it is concluded that the payment is a legitimate fee, for example part of a genuine fast-track process, or is otherwise permitted locally, INASP will authorize the employee to make the payment. Where the Anti-Bribery & Corruption Champion considers that the request is for a facilitation payment,
the employee or associated person will be instructed to refuse to make the payment and notify the official that a report of the incident will be made to INASP and the UK embassy.

INASP will support employees and associated persons who refuse to pay a bribe.

**WHAT IS NOT PROHIBITED BY THIS POLICY**

Bribes paid under duress will not be a breach of this policy. Bribes paid under duress are payments made when the payee is in fear for his or her safety or liberty, or the safety or liberty of another person. An example could be where a policeman demands a bribe described as a ‘fine’, before allowing the payee to continue on with their journey.

All demands for bribes (including bribes paid under duress) must be reported at the earliest opportunity after the event to Senior Management Team (SMT), or the Anti-Bribery & Corruption Champion.

In summary you, or someone on your behalf, must not:

(a) give, promise to give, or offer, a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given;

(b) give or accept a gift or hospitality during any commercial negotiations or tender process, if this could be perceived as intended, or likely, to influence the outcome of the process;

(c) accept a payment, gift or hospitality from a third party that you know, or suspect is offered with the expectation that it will provide a business advantage for them or anyone else in return;

(d) accept hospitality from a third party that is unduly lavish or extravagant under the circumstances.

(e) offer or accept a gift to or from government officials or representatives, or politicians or political parties, without the prior approval of your manager;

(f) threaten or retaliate against another individual who has refused to pay a bribe or who has raised concerns of bribery or corruption; or

(g) engage in any other activity that might lead to a breach of this policy. You may pay a bribe if you fear for the safety or liberty of yourself or another.

**THE ANTI-BRIBERY PROGRAMME AT INASP**

The ABP comprises a number of key elements that complement one another:

(a) A commitment from the Board of INASP to conduct business lawfully

(b) The assessment of bribery and corruption risks across the business

(c) Procedures that are designed to proportionately manage the risk of bribery and corruption occurring

(d) Regular training and communication on the ABP

(e) Guidance on seeking advice and raising concerns

(f) Regular reviews of the ABP

(g) Spontaneous gifts and hospitality are permissible under this policy

Elements of the anti-bribery programme are described further below.

**BRIBERY AND CORRUPTION RISK ASSESSMENTS**

The assessment of bribery and corruption risks is incorporated into standard risk assessment processes across INASP.

The bribery and corruption risk assessment process will consider how bribery and corruption might occur in relation to our operations, and also how our business relationships and internal structures may contribute to the risks.
The assessments of bribery and corruption risks will inform the ABP which will be amended as required.

ANTI-BRIBERY AND CORRUPTION PROCEDURES
A number of key control measures relate to the management of bribery and corruption risks, in particular:

• the management of gifts and hospitality;
• the management of conflicts of interests;
• the management of charitable donations, sponsorships and lobbying activity;
• due diligence processes;
• financial controls.

GIFTS AND HOSPITALITY
Gifts or hospitality that are reasonable and proportionate and seek to showcase our services or to improve our professional relationships are acceptable business practice. Moreover, INASP understands that in certain countries, gift giving and receiving is a cultural norm. However, INASP also recognizes that inappropriate gifts, entertainment and hospitality can constitute bribery. Even if not received or given as a bribe, gifts and hospitality can give the impression of bribery or otherwise garner a sense of obligation.

Particular care must be taken in this regard when engaging with individuals who represent a government or government agency, or during contract / tender negotiations.

Cash or cash equivalents will never be given as a gift, irrespective of the value (such as gift certificates or vouchers). N.B. This is not to be confused with reimbursements as part of a documented arrangement covering legitimate living, travel and accommodation costs.

This policy allows reasonable and appropriate gifts or hospitality to be given to or received from third parties, for the purposes of:

(a) establishing or maintaining good business relationships;
(b) improving or maintaining our image or reputation; or
(c) marketing or presenting our products and / or services effectively.

Promotional gifts of low value such as branded stationery provided to or received from existing customers, suppliers and business partners will usually be acceptable.

Reimbursing a third party's expenses or accepting an offer to reimburse our expenses (for example, the costs of attending a business meeting) would not usually amount to bribery. However, a payment in excess of genuine and reasonable business expenses (such as the cost of an extended hotel stay) is not acceptable.

If hospitality is provided an INASP representative must be present at the event. INASP understand that spontaneous gifts and hospitality are sometimes offered, and it is unreasonable to expect individuals to seek permission before accepting such offers. Therefore, this policy allows for the acceptance provision of unplanned gifts and hospitality.

We appreciate that practice varies between countries and regions and what may be normal and acceptable in one region may not be in another. The test to be applied is whether, in all the circumstances, the gift or hospitality is reasonable and justifiable, and would be perceived to be reasonable by an independent third person.
In summary, the giving and accepting of gifts may be allowed if the following requirements are met:

(a) the value it is not in excess of £100 per person (in the UK) or local equivalence.
(b) it is not made with the intention of influencing a third party to obtain or retain business or a business advantage, or to reward the provision or retention of business or a business advantage,
(c) it is not an explicit or implicit exchange for favors or benefits;
(d) it is given in the name of INASP, not in your name;
(e) it does not include cash or a cash equivalent;
(f) it is appropriate in the circumstances, taking account of the reason for the gift, its timing and value. For example, in the UK it is customary for small gifts to be given at Christmas;
(g) it is given openly, not secretly; and
(h) it complies with any applicable local law.

All instances of gifts and hospitality provided or received (in excess of £100 or local equivalent) must be reported by email to the Office Manager who maintains a Gifts and Hospitality Register as part of the ABP. The information required is:

- Date/time/place of the event
- Circumstances including purpose of the expenditure
- Nature (including value) of the expenditure
- Who was present

For guidance on the receipt of provision of Gifts and Hospitality advice can be sought from any line manager or the Finance Director.

**CONFLICTS OF INTEREST**

Conflicts of interests may arise where an individual’s personal interests, family interests or loyalties conflict with those of INASP. All employees and associated persons including Directors, and those representing the INASP, have an obligation to act in the best interests of the INASP.

Trustees of INASP also have a legal obligation to declare personal conflicts of interests.

An employee, Director, or anyone representing INASP, must not derive any financial or other benefit (other than remuneration from INASP) from transactions entered into by INASP with any third party, without first disclosing such interest to INASP and obtaining written approval to proceed from the Finance Director.

Neither an employee nor anyone representing INASP may have a personal interest in any third party engaged, or expecting to be engaged, in business with INASP.

If an employee or associated person has such an interest they must declare it immediately and obtain authorization from the Finance Director.

In addition to declaring the potential and actual conflicts of interests, employees and associated persons must also inform Finance Director should a change occur in the status of the conflict, for example when the conflict ceases to exist.

As part of the ABP a Register of Conflicts of Interest is maintained by the Office Manager. The Conflicts of Interest Register will record all relevant details including:

- The nature and extent of the (potential) conflict;
- A summary of the discussion;
- Any actions taken to manage the conflict.

All declared conflicts of interests will be reviewed annually and also when any relevant changes occur.
If an employee is not sure what to declare, or whether / when their declaration needs to be updated, the employee must seek guidance from the Finance Director.

**DONATIONS, SPONSORSHIPS AND LOBBYING**

We do not make contributions to political parties or political candidates.

We only make charitable donations or undertake sponsorships that are legal and ethical. No company donation will be offered or made without the prior approval of the Senior Management Team or Executive Director.

INASP does not undertake lobbying activities. N.B. This is not to be confused with legitimate engagements with government representatives as part of operational delivery.

**DUE DILIGENCE**

INASP has due diligence processes that provide a structured methodology for considering the engagement of employees, agents and other third parties, including suppliers to INASP.

**FINANCIAL CONTROLS**

INASP has strict financial controls in place which are subject to regular independent audit. This includes delegated authority matrices, supervision protocols and segregation of finance functions.

**TRAINING AND COMMUNICATION**

Communication of the ABP, including training, is central to the effectiveness of the programme. Frequent short messaging of the zero-tolerance approach to bribery reinforces the programme and reduces risk to individuals and INASP.

All employees of INASP will receive training in relation to this policy.

Our zero-tolerance approach to bribery and corruption will be communicated to all suppliers, contractors and business partners at the outset of our business relationship with them and as appropriate thereafter.

Anti-bribery training will also be provided to other third parties, such as suppliers to INASP, when a need and opportunity is identified.

**SEEKING GUIDANCE AND RAISING CONCERNS**

Advice and guidance in relation to this policy can be obtained from your line manager or alternatively, if you would feel more comfortable, you may seek advice directly from the Finance Director.

All employees of INASP, and all individuals acting for INASP anywhere in the world, are expected to report any concerns of bribery and to cooperate with any investigation of such concerns. You do not need to be certain of the occurrence of bribery, only to raise your concerns. It follows that you are not expected to investigate your suspicions.

The reporting of concerns is undertaken in the same way as the seeking of guidance under this policy i.e. by contacting your first-line manager or the Finance Director (who can be contacted on +44 1865 249909 or by email to haynes@inasp.info); or the Office Manager (who can be contacted on +44 1865 249909 or by email to cglenn@inasp.info).
Individuals who refuse to accept or pay a bribe, or who raise concerns or report another's wrongdoing, are sometimes worried about possible repercussions. At INASP we encourage openness and will support anyone who raises genuine concerns under this policy, even if they turn out to be mistaken.

Employees and associated persons are reminded that INASP has a separate P14-Whistleblowing Policy. It describes in detail the protections afforded to those who raise concerns of misconduct.

**RESPONDING TO CONCERNS RAISED**

The Anti-Bribery & Corruption Champion will be responsible for ensuring that all concerns raised under this policy are investigated.

Any employee who breaches this policy will face disciplinary action, which could result in dismissal.

We may terminate our relationship with other individuals and organizations working on our behalf if they breach this policy.

Those raising concerns will be regularly informed of the progress of the investigation, unless the report is raised anonymously or the person raising the concern does not wish to be kept informed.

The matter will be dealt with confidentially; however, it should be noted that INASP cannot guarantee confidentiality as there may be legal requirements to disclose information relating to a matter raised. Furthermore, INASP cannot prevent the identity of a person raising an issue being deduced by others.

Although concerns may be raised anonymously, INASP would like to stress the importance of those raising concerns to fully cooperate with any investigation process. It is quite usual for further information to be sought from those raising concerns as an investigation progresses. Concerns raised anonymously can be more difficult to investigate.

As a matter of routine, the following minimum information will be retained securely by the Office Manager or Anti-Bribery & Corruption Champion:

- Date and time of receipt of the concern;
- The identity of the person raising the concern (if known);
- A summary of the concern, its background and other relevant information;
- Whether confidentiality was requested, explained or promised;
- Whether the concern was raised elsewhere; if so where, to whom and when;
- Any advice or feedback given to the person raising the concern; and
- Details of any investigation undertaken and its result.

INASP is committed to ensuring no one suffers any detrimental treatment as a result of refusing to take part in bribery or corruption, or for reporting their genuine suspicions that a bribery or other corruption offence has taken place or may take place in the future. Detrimental treatment includes dismissal, disciplinary action, threats or other unfavorable treatment connected with raising a concern. If you believe that you have suffered any such treatment, you should inform the Finance Director or the Office Manager, immediately.
RECORD KEEPING
INASP must keep financial records and have appropriate internal controls in place which will evidence the business reason for making payments to third parties.

All gifts and hospitality given or received in excess of the threshold described must be reported.

All expenses claims relating to hospitality, gifts or payments to third parties in accordance with our expenses policy.

All potential, anticipated and actual conflicts of interest as described must be reported.

All accounts, invoices, and other records relating to dealings with third parties including suppliers and customers will be prepared with strict accuracy and completeness.

Although records relating to the ABP do not need to be centralized, it is important that INASP can demonstrate and evidence the ABP to a third party, if required.

The Finance Director or Office Manager will maintain a summary document identifying the source and location of documentary evidence of the ABP.

The ABP documentary evidence includes *inter alia*:
(a) training records;
(b) communications of the ABP;
(c) due diligence processes;
(d) bribery risk processes;
(e) gifts & hospitality;
(f) conflicts of interest;
(g) records of concerns raised, and investigations conducted;
(h) reviews of the ABP.

RESPONSIBILITIES
The Finance Director, as the *Anti-Bribery & Corruption Champion*, is the owner of the anti-bribery programme. The Finance Director is also responsible for receiving concerns raised directly with him and passing these concerns to the Executive Director.

The Office Manager has responsibility for receiving concerns and providing advice under the policy.

Line managers have responsibility for recording concerns raised under this policy and referring these concerns to either the Finance Director or Office Manager.

You must ensure that you read, understand and comply with this policy, report your concerns and assist with investigations.

The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working for us or under our control. You are required to avoid any activity that might lead to, or suggest, a breach of this policy.

| Reviewed | August 2018 |