

## Anti-Bribery and Corruption Policy

### Introduction

The School is committed to conducting all of its business in a fair, honest, open and ethical manner, in accordance with the relevant legislation, and to the highest standards of integrity. This policy sets out the responsibilities of those working for the School in observing and upholding the School's position on bribery and corruption. It has been drafted with reference to legislation and guidance from the Ministry of Justice.

### Definitions

*Bribery* is the offer, promise, giving, demanding or acceptance of an advantage as an inducement for an action that is illegal, unethical, a breach of trust or the improper performance of a contract.

*Corruption* is the misuse of public office or power for private gain, or misuse of private power in relation to business outside the realm of government.

Acts of bribery or corruption are designed to influence the individual in the performance of their duty and incline them to act dishonestly.

### Legislative framework

The legislative context for this policy is the [Bribery Act 2010](#). Under the Bribery Act, individuals can be prosecuted to accepting or offering bribes. In addition, the School can be prosecuted for failing to prevent bribery committed to obtain or retain a business or business advantage for the School by an employee or other individual or organization performing services for the School.

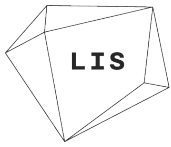
### Scope

The policy applies to every employee of the School, as well as those acting on behalf of the School, including (but not limited to) agents, contractors, consultants, suppliers, and third-party representatives, which sometimes includes students.

### Policies

The School has zero tolerance of bribery or corruption. Its employees and associated persons must not engage in any form of bribery or corruption in connection with, or relating to, any activity carried out on behalf of or in the name of the School.

Any employee who breaches this policy will face disciplinary action, which could result in dismissal for gross misconduct. The police may be informed if criminal activity is suspected.



## Risk Assessment

The risk of bribery occurring should be addressed through the School's risk management processes, as set out by the School's *Risk Management Policy*. All departments are required to assess the risks of bribery occurring, or of the perception arising that bribery may have occurred, in relation to their activities. Risks relating to bribery must be captured in the School's Risk Register.

Departmental assessment of the risk of bribery or corruption must form a proportionate element of due diligence undertaken when consideration is being given to entering into a business or academic partnership.

## Gifts, Entertainment and Hospitality

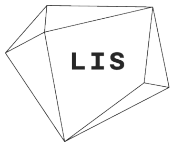
The School will not accept gifts which would require the School to undertake any action in contravention to national or EU regulation or which would, in the opinion of the Registrar, create an unacceptable conflict of interest or expose the School to financial or legal liability.

Staff should not accept any gifts or rewards (or have them given to members of their family) from any organisation or individual with whom they have contact in the course of their work that would cause them to reach a position where they might be, or might be deemed by others to have been, influenced in making a business decision as a consequence of accepting such a gift. This includes accepting payment, a gift or hospitality from a third party that an employee or associated person knows or suspects is offered with the expectation that it will obtain a business advantage for them.

Staff may attend events organised by other bodies for promotional or business purposes, but any hospitality that exceeds the norm, or raises a potential conflict of interest should be avoided. Hospitality must not be accepted from government officials or representatives, or politicians or political parties, without the prior approval of the Registrar.

The objective of offering any hospitality should only be the development of business relations. Any hospitality offered under these circumstances should be appropriate in the circumstances, proportionate, and must conform with local legislation and the UK Bribery Act 2010. Records of expenditure on hospitality and gifts must be lodged with the Registrar.

Hospitality and gifts must not be given with the intention of influencing a third party to obtain or retain business or in order to gain a business advantage, rewarding a third party for any form of business advantage, or in exchange for benefits or favours. They must not include a cash or cash equivalent, and must be given openly, and may not be offered to government officials or representatives, or politicians or political parties, without the prior approval of the Registrar.



## Responsibilities

**The Audit and Compliance Committee** is responsible for overseeing the effectiveness of this Policy.

The **Registrar** is responsible for the implementation of this Policy.

**All members of the School and third parties acting on behalf of the School** are responsible for complying with this policy and ensuring that their behaviour at work is professional, honest and fair. This includes preventing, identifying and reporting bribery wherever it may occur, as well as making reasonable endeavours to ensure that their actions could not give rise to the perception that misconduct may have occurred, even if this is not the case.

**An employee** must notify their line manager as soon as possible if they believe or suspect that a conflict with this policy has occurred, or may occur in the future, for example, if a potential client indicates that a gift or payment is required to secure their business.

## Record Keeping

All departments must keep financial records and have appropriate internal controls in place to evidence the business reason for making payments to third parties.

All employees must declare and keep a written record of all hospitality or gifts accepted or offered, which will be subject to line manager review.

All employees must ensure all expenses claims relating to hospitality, gifts or expenses incurred to third parties are submitted in accordance with the expenses policy and specifically record the reason for expenditure.

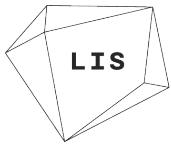
All accounts, invoices, memoranda, other documents and records relating to dealings with third parties, such as clients, suppliers and business contacts, should be prepared and maintain with strict accuracy and completeness. No accounts must be kept “off-book” to facilitate or conceal improper payments.

## Training

Any employee working in an area that is perceived as high risk as far as bribery or corruption are concerned will receive relevant training on how to implement and adhere to this policy. This training will be organised by the Registrar.

## Communication of Policy

The School’s zero-tolerance approach to bribery and corruption must be communicated to all suppliers, contractors, agents, clients and other parties.



## **Reporting Concerns or Incidents**

All members of the School are encouraged to report concerns that there may have been a breach of the Anti-Bribery and Corruption Policy as soon as possible, whether on the part of other School members or third parties. The School is committed to ensuring that its members have a safe and confidential way to report such concerns.

Where an employee has concerns relating to bribery or corruption, they should raise them with the Registrar. The School's Whistleblowing Policy also permits employees and any individual contractually associated with the School to raise concerns of serious malpractice in the School.

Heads of Department must report any suspect instances of bribery or corruption undertaken by members or associated members of the School to the Registrar.

The Registrar will engage external professional support where necessary in investigating the allegation. Where the Registrar deems that there are grounds for concern, formal disciplinary procedures will be raised against the individual(s) alleged to have breached this policy (under the School's Disciplinary Procedure).

Where the alleged concern relates to a third party such as a contractor, consultant or supplier, the Registrar will convene a formal enquiry. If the enquiry finds reasonable grounds for the concern, the contract with that third party may be terminated. Where criminal activity is suspected, the police may be informed.

### Red Flags

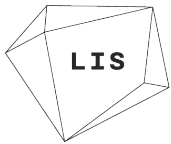
Potential red flags that might signify bribery and corruption include, but are not limited to:

- Awareness that a third party engages in or has been accused of engaging in improper business practices or paying or taking bribes;
- A third party requires payment in cash, and/or refuses to sign a formal agreement, or to provide an invoice for payment made;
- A third party requests an unexpected fee to "facilitate" a service;
- A third party insists on the use of side letters, or refuses to put agreed terms in writing;
- A third party offers or demands a lavish gift or hospitality.

An employee encountering any of these red flags, or any other causes for concern as to the propriety of a third party, must report them as soon as possible to the Registrar.

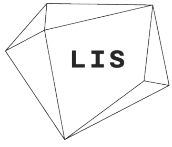
### **Monitoring and Review**

This Policy and its effectiveness will be reviewed by external auditors and the Audit and Compliance Committee on an annual basis, with reports made to the Board of Directors. The Board of Directors may then authorise any changes to this Policy.



<b>Name of policy/procedure:</b>	<b>Anti-Bribery and Corruption Policy</b>
<b>Document owner:</b>	<b>Hannah Kohler, Director of Admissions and Student Support</b>
<b>Date Originally Created:</b>	<b>01/2019</b>
<b>Last reviewed:</b>	<b>03/2020</b>
<b>Reviewed by:</b>	<b>Prof. Chris Maguire (Registrar)</b>
<b>Audited by:</b>	<b>Board of Directors, Academic Council</b>
<b>Date of Audit:</b>	<b>11/2019 (BoD) – approved, 03/2020 (AC)</b>
<b>Date of next review:</b> (annually unless otherwise agreed)	<b>11/2020</b>
<b>Related documents:</b> (e.g. associated forms, underpinning processes, related policies or overarching policies)	<b>Code of Ethical Conduct Whistleblowing Policy and Procedure Audit and Compliance Committee: Membership and Terms of Reference</b>

<b>Version Control</b>			
<b>Version</b>	<b>Author</b>	<b>Date</b>	<b>Brief summary of changes</b>
<b>1</b>	<b>Hannah Kohler (Director of Admissions and Student Support)</b>	<b>13/01/2019</b>	<b>Original draft</b>
<b>2</b>	<b>Prof. Chris Maguire (Registrar)</b>	<b>05/03/2019</b>	<b>Minor wording changes</b>
<b>3</b>	<b>Hannah Kohler (Director of Admissions and Student Support)</b>	<b>17/07/2019</b>	<b>Included reference to Public Interest and Principles and Standards (PIPS) Panel in Policy</b>
<b>4</b>	<b>Executive Committee</b>	<b>08/08/2019</b>	<b>Approved</b>
<b>5</b>	<b>Board of Directors</b>	<b>18/11/2019</b>	<b>Approved</b>
<b>6</b>	<b>Hannah Kohler (Director of Admissions and Student Support)</b>	<b>03/03/2020</b>	<b>Updated name of PIPS Panel to Audit and Compliance Committee</b>
<b>7</b>	<b>Academic Council</b>	<b>16/03/2020</b>	<b>Agreed as part of package of governance documents</b>



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