

Spotlight on Corruption's Anti-Bribery Policy

1. Introduction

The anti-bribery policy of Spotlight on Corruption [hereinafter "Spotlight"], which is set out in this document, is compatible with the Bond Anti-Bribery Principles for NGOs.¹

This policy contains an annex which provides criteria for testing for compliance.

2. Principles

The Spotlight policy is based on the seven Bond Anti-Bribery Principles:

- **High-Level Commitment**

The Board and senior management are committed to and oversee the implementation of a policy of zero-tolerance, recognising that bribery is contrary to fundamental values of integrity, transparency and accountability and undermines organisational effectiveness.

- **Risk Assessment**

Bribery risk assessment is an integral part of Spotlight's overall and on-going risk management process.

- **Devise and Implement Robust Anti-Bribery Procedures**

Spotlight has devised and is implementing and maintaining robust procedures (set out in this document) which are proportionate to the risks and to the size, resources and complexity of the organisation.

- **Due-diligence Assessment of Partners, Agents and Contractors**

Spotlight assesses the bribery risk associated with entering into partnership or contracting arrangements with other entities and then carries out periodic due diligence based on that risk assessment. Partnership or contractual arrangements are checked to ensure that these organisations have policies and procedures which are consistent with Spotlight's own procedures.

- **Dissemination and Communication**

Spotlight has established means for effective internal and external communication of its policy and procedures. The organisation undertakes training and awareness programmes to ensure staff, agents and partners are aware of the potential risks, how bribery might affect them, what they should do if they are offered a bribe, and the consequences should they be found to have made or received a bribe.

- **Monitoring and Evaluation**

Implementation of anti-bribery procedures is monitored as part of overall risk management and internal control processes. Periodic reviews of anti-bribery procedures are made and reported as part of governance and accountability process

¹ http://www.bond.org.uk/data/files/Bond_Anti-Bribery_Principles_and_Guidance_for_NGOs.pdf Add references http://www.transparency.org/whatwedo/tools/business_principles_for_counteracting_bribery/1/

- **Collective Action**

Spotlight is committed to sharing information and strengthening collective action to prevent bribery.

In addition, Spotlight adheres to two other important principles:

- **Openness**

Spotlight strongly encourages a culture of openness in which bribery risks are discussed, in order to respond better both to immediate circumstances and in the longer-term.

Transparency

- Spotlight commits to be fully transparent about both its approach to anti-bribery and all relevant information such as entries to the gifts and hospitality registers and sources of its funding.

3. Spotlight's Policy

Spotlight has a zero-tolerance policy towards the giving and receipt of bribes, and of bribery and corruption in any form. Spotlight aspires to operate to best practice standards and complies with all relevant laws in all the jurisdictions in which it operates. This policy extends to all of Spotlight's dealings and transactions in all countries in which it or its consultants and associates operate. This policy is regularly revised to capture changes in corruption risk, law and best practice. All Board members, employees, consultants and volunteers are required to comply with this policy.

The Spotlight Board has approved this policy. It will be incorporated in all Spotlight contracts of employment and consultant or partner contracts.

4. Policy Implementation

4.1 Risk assessment

Spotlight undertakes periodic assessments of the bribery risks that it faces. The key areas of risk identified are:

- Gifts
- Hospitality
- Receipt of donations
- Conflicts of interest
- Research activities
- Appointment and activities of consultants.

4.2 Robust anti-bribery procedures

Spotlight's procedures are primarily designed to mitigate the risks identified by the risk assessment. The procedure for each of these is identified below.

4.2.1 Gifts

Spotlight's policy on the giving and receiving of gifts is:

1. No Spotlight Board member, employee, consultant or volunteer may accept, directly or indirectly, any discount, gift, entertainment (which includes meals, cultural events, tourist visits

etc) or favours (referred to as gifts) that may influence or be perceived to influence the exercise of their official function, or the performance of their official duties or their judgement. Examples of criteria for making such judgements are attached in Annex 1.

2. All gifts with a value of more than £75 are refused.
3. All gifts between the value of £20 and £75 are registered in the Spotlight register of gifts. Such gifts are reported to the Executive Director (ED) and via them to the Board. The register is maintained by a staff member delegated by the ED. The register is available for the information of all Spotlight Board members, employees, consultants and volunteers. It is also publicly available on the Spotlight website.
4. Gifts with a value below £20 should be reported to the recipient's line manager and may be kept by staff unless there are particular reasons to refuse the gift or add it to the register.
5. Each individual, and ultimately their line manager (as appropriate), is responsible for ensuring that the gifts register is completed.

4.2.2 Hospitality

Hospitality includes meals, entertainment, transport, accommodation and any other activities that could reasonably be interpreted as offering or receiving hospitality. Spotlight's policy on giving and receiving hospitality is:

1. No Spotlight Board member, employee, consultant or volunteer:
 - o Accepts directly or indirectly any hospitality (as defined) that may influence or be perceived to influence the exercise of their official function, or the performance of their official duties or their judgement. Examples of criteria for making such judgements are attached in Annex 1.
 - o Offers directly or indirectly any hospitality (as defined) that may influence or be perceived to influence improperly the actions of other persons. Examples of criteria for making such judgements are attached in Annex 1.
2. All hospitality received or given of a value estimated to exceed £40 is reported to the Executive Director, or in the case of the Executive Director, to the Board Chair, and recorded in a register that is maintained by a staff member delegated by the ED. The register is available for the information of all Spotlight board members, employees, consultants and volunteers. It is also publicly available on the Spotlight website.
3. Each individual, and ultimately their line manager/project manager (as appropriate), is responsible for ensuring that the hospitality register is completed.

4.2.3 Receipt of Donations

Spotlight recognises that donations represent a corruption risk, in particular, in cases where a donor may seek to compromise Spotlight's independence by influencing improperly the policies, activities or decision-making of Spotlight. Spotlight is developing a separate policy on donations.

4.2.4 Conflicts of Interest

Spotlight recognises that conflicts of interest may arise that could lead to Board members, employees or consultants taking decisions, or appearing to take decisions, that are based on personal interest and not the interest of the organisation. Such conflicts of interest can be a form of corruption. Spotlight is therefore developing a policy on conflicts of interest.

4.2.5 Independence of Research

Spotlight publishes research on a regular basis. The Board and ED are required to take all necessary precautions to ensure that the integrity of decision-making in the subjects selected for research, the research process, the presentation of the results and the means of publication are not compromised by external interests.

4.2.6 Appointment and Activities of Consultants

Certain areas of Spotlight activities make use of external consultants. It is Spotlight policy that they should be properly vetted to ensure that they have not previously been associated with corrupt activity; their contractual arrangements require adherence to Spotlight's anti-bribery policy and procedures and they receive appropriate training; and that Spotlight's contracts with them allow for termination of a relationship in the case of a breach of Spotlight's anti-bribery policy.

4.3 Dissemination and Communication

4.3.1 Induction

All employees, consultants, board members, and volunteers will be inducted into this policy. The policy forms part of the contract or agreement for each of these parties.

4.3.2 Training

All employees, consultants and volunteers will receive basic training in how to understand and avoid bribery. Those giving the training are also seen as having received the training.

4.3.3 Communication to all Partners and Stakeholders

Spotlight's policy and procedures are made publicly available and this policy will be published on the Spotlight website.

4.4 Monitoring and Evaluation

Spotlight's anti-bribery programme will be reviewed periodically by the Treasurer. This will typically cover:

- a review of the risk assessment
- a review of induction and training
- review of the gifts and hospitality register

4.5 Collective Action

Since Spotlight is an anti-corruption organisation operating largely in the UK, there are limited opportunities for Spotlight to participate in collective action in order to eliminate any bribe paying. However, Spotlight strongly supports the principle of collective action and offers advice and expertise to others genuinely seeking to pursue collective action.

4.6 Confidential Reporting

Spotlight’s confidential reporting procedures are designed to reflect the size of the organisation. A key principle of Spotlight’s anti-bribery programme is openness, and all employees and other parties are encouraged not simply to report concerns and incidents, but to generate active discussion about them in order to respond better both to immediate circumstances and in the longer-term.

4.7 Application of this Policy

This Programme is applicable to:

- All Spotlight employees
- Any consultant contracted by Spotlight while acting on Spotlight business
- Any board member, or adviser while acting on Spotlight business,
- Any volunteer or intern while acting on Spotlight business.

Each individual is personally responsible for ensuring that they adhere to the policy. Line managers share this responsibility through monitoring the activities and performance of those they are managing. Spotlight will view a breach of this policy very seriously – it will instigate disciplinary action or the equivalent against the person concerned, and comply with its legal obligations to report wrong-doing to the relevant authorities.

Spotlight on Corruption Anti-Bribery Policy, June 2020	
Trustee Sponsor	Treasurer
Owner	Executive Director
Date of approval	08.07.2020
Drafted by	Susan Hawley and Nigel Taylor
Version	08.06.2020
Review date	June 2022
To be read in conjunction with these other policies:	Whistle-blower (in development); Donations (in development); Conflict of interest (in development).

Annex 1: Example criteria to test if gifts, hospitality or reimbursed expenses comply with the anti-bribery programme

Gifts, hospitality or reimbursed expenses should meet the following criteria:

- *Made for the right reason*: if a gift or hospitality, it should be given clearly as an act of appreciation, if travel expenses then for a bona fide business purpose
- *No obligation*: the gift, hospitality or reimbursement of expense does not place the recipient under any obligation
- *No expectations*: expectations are not created in the giver or an associate of the giver or have a higher importance attached to it by the giver than the recipient would place on such a transaction
- *Made openly*: if made secretly and undocumented then the purpose will be open to question;
- *Accords with stakeholder perception*: the transaction would not be viewed unfavourably by stakeholders if it were made known to them
- *Reasonable value*: the size of the gift is small and the value of the hospitality or reimbursed expense accords with general business practice in the charitable sector
- *Appropriate*: the nature of the gift, hospitality or reimbursed expense is appropriate to the relationship and accords with general business practice in the charitable sector
- *Legality*: it is compliant with relevant laws
- *Conforms to the recipient's rules*: the gift, hospitality or reimbursement of expenses meets the rules or code of conduct of the recipient's organisation
- *Infrequent*: the giving or receiving of gifts and hospitality is not a regular happening between the giver and the recipient
- *Reported*: the gift, hospitality or expense should be recorded and reported to management
- *Documented*: the expense is fully documented including purpose and approvals given and properly recorded in the book