



montrose

Improving lives through evidence and impact

Anti-Bribery and Corruption Policy April 2022

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AMENDMENT LOG

Issue date	Version no.	Summary of addition or alteration	Initials
October 2018	V1	Anti-Bribery and Corruption Policy first authorised issue	BB
November 2019	V2	Formatting/design updated	GH
January 2021	V3	Date, version number and document number updated New company logo inserted	GH
April 2022	V4	Review and dates amended	BB

What is corruption and bribery?

Corruption: any form of abuse of entrusted power for gain.

Bribery: the offering, promising, giving, accepting, receiving or soliciting of an advantage as an inducement for action which is illegal or a breach of trust. A bribe is an inducement or reward offered, promised or provided to gain any commercial, contractual, regulatory or personal advantage.

Montrose values its integrity and is committed to maintaining the highest level of ethical standards in the conduct of its business affairs. Montrose holds a zero-tolerance to all forms of bribery and corruption.

The Montrose Anti-Bribery and Corruption Policy recognises that the nature of Montrose's work and the areas in which it operates, makes the business vulnerable to misuse and misconduct of position and resources. Factors which could increase the risk of corruption and bribery on Montrose include:

- Paying bribes or condoning corruption in any way
- Operating in environments with high income inequality or inequality of power
- Operating in environments with systemic corruption and bribery

We consider bribery and corruption to have a detrimental impact on business, clients, and communities. For this reason, Montrose places importance on the awareness, implementation and monitoring of its Anti-Bribery and Corruption Policy. This is intended to prevent misconduct and to hold accountable any who do not adhere to it.

Montrose ensures that appropriate and effective operational oversight is given to upholding our business ethics and code of ethical conduct: **Montrose's Directors have final responsibility** for implementation of and adherence to this Anti-Bribery and Corruption Policy and to procedures put in place to ensure effective monitoring, as well as to broader regulatory frameworks including the UK Bribery Act (2010) and United States Foreign Corrupt Practices Act (FCPA).

The following policy document strictly applies to all employees, consultants, sub-contractors and any person or company acting for or on behalf of Montrose within all regions, areas and functions.

For the avoidance of doubt, if you are in any way acting for or on behalf of Montrose, all aspects of this policy apply to you.

1. ANTI-BRIBERY AND CORRUPTION PRINCIPLES

1. Montrose is committed to acting with **fairness and integrity** seeking to conduct all its business in an honest and ethical manner. Therefore, we do not tolerate any conduct equating to bribery or corruption - whether direct or indirect.
2. Montrose prohibits employees, consultants, sub-contractors or any business or person acting on behalf of it from making, soliciting or receiving any bribes, facilitations or unauthorised payments.
3. Montrose ensures that appropriate and effective operational oversight is given to upholding our business ethics and code of ethical conduct, and to adhering to regulatory standards set by the

UK Bribery Act of 2010¹ and the **United States Foreign Corrupt Practices Act²**. These standards are strengthened by acting in accordance with relevant counter bribery and corruption laws set by jurisdictions within which we operate.

4. Montrose will not request any service, action or inaction by any other person or entity which would constitute a violation of any applicable corruption laws in connection with our projects and any matters resulting from it.
5. Any arrangements Montrose makes with a third party is subject to clear contractual terms, including specific provisions that require the third party to comply with minimum standards and procedures relating to anti-bribery and corruption.
6. Montrose will ensure that any personnel and sub-contractors contracted for work do not make, offer or authorise what are considered to be prohibited payments. This includes the giving or conferring of any benefit or other thing of value.
7. All cases where government officials are requesting bribes or facilitation payments for government approvals will immediately be raised with the client in question.

2. RECOGNISING CORRUPTION & BRIBERY

Corruption and bribery can be observed in a variety of forms, all of which are important to recognise and avoid. This could include, but may not be limited:

- **Bribes** – Paying, offering, accepting, receiving or requesting a bribe are all crimes. This is the improper transfer, gift or promise of any form of material benefit or other advantage, whether in cash or in kind, to another in order to influence conduct in any way
- **Facilitation** – This is the payment or receipt of anything of value for performing a service or other action that is required by employment (without payment). For instance, requiring money to process a form.
- **Kickback** – receiving or requesting improper commission, or funds for involvement in a corrupt procurement or tender process.
- **Nepotism** – improper use of employment or position to materially benefit friends, relatives or other associates in any way.
- **Collusion** – improperly helping others to circumvent, undermine or otherwise ignore Montrose's policies, procedures or code of conduct.
- **Abuse of a Position of Trust** – improper uses of position to materially benefit yourself or any other party.

¹ <https://www.legislation.gov.uk/ukpga/2010/23/contents>

² <https://www.justice.gov/sites/default/files/criminal-fraud/legacy/2012/11/14/fcpa-english.pdf>

3. RESPONSIBILITIES FOR IMPLEMENTATION OF THIS POLICY

Everybody – Montrose employees, consultants, sub-contractors or any person or company acting for or on the behalf of Montrose – has a responsibility to ensure the abovementioned principles are implemented and adhered to as described below:

- You are expected to:
 - work with integrity, objectivity and professionalism.
 - show fairness in your dealings internally and externally.
 - act with honesty with regards to the ethos of Montrose and the legal framework in the jurisdictions in which we/you operate.
 - familiarise yourselves and comply with this policy.
 - ensure that expenditure is recorded accurately and in reasonable detail.
- If you are asked for a facilitation payment or requested for/offered a bribe, while carrying out duties for Montrose on behalf of the Client, it shall be **politely refused** stating that it would breach of Montrose policy and the law.
- All offers of bribes, requests for bribes or facilitation payments shall be **reported** as soon as possible to Montrose Senior Management, who will then raise this with the Client.
- Montrose values the health and safety of those acting on its behalf. The only exemption which would be considered is in a scenario in which you consider that there may be an **immediate and serious safety or security threat** to yourself or others, by not complying with the request for a bribe. In this scenario, be safe and report the incident to Montrose Senior Management as soon as feasibly possible.
- It should be noted that the **payment of bribes can increase the future security threat** to yourself and colleagues by raising expectations of further payment. Consistent refusal to pay bribes in all settings is usually the most effective strategy to keep yourself and others safe.
- If you become aware or suspect that a past or future activity or conduct is in breach of its policy, you have an **ethical and contractual duty** to report this to Montrose Senior Management.

Accompanying support is provided through training on ethical conduct to all new personnel, consultants and sub-contractors.

If you are in any doubt as to whether a possible act might be in breach of this policy or the law, the matter should be referred to by Montrose Senior Management.

4. REPORTING AND WHISTLE BLOWING

It is the responsibility of every individual contracted by Montrose to report any breach of this policy. Montrose has mechanisms available for the reporting of any acts of bribery or corruption as follows:

- All Montrose personnel, consultants and sub-contractors are given a copy of the Montrose Whistle Blowing Policy prior to starting their contract and are trained on Ethical Conduct, which includes whistle blowing.
- If you become aware or suspects that a past or future activity or conduct is in breach of this policy, you have a duty to report this to a Montrose Director.
- Montrose appreciates that the success of its Anti-Bribery and Corruption Policy depends on all employees and those acting on its behalf playing their part, therefore Montrose supports any individual who makes such a report in good faith.
- All personnel, consultants, sub-contractors or any person or company working on behalf of Montrose can contact the FCDO Counter Fraud and Whistleblowing Unit at reportingconcerns@fcdo.gov.uk to report suspicions or allegations of aid diversion, fraud, money laundering or counter terrorism finance.

5. CONSEQUENCES OF BREACHING THIS POLICY

Any breach of this Policy is a serious offence and will be treated as such. Therefore, an employee, consultant, sub-contractor or any person or company acting on the behalf of Montrose would face disciplinary action, including dismissal and, if appropriate, legal action.