



BRIBERY AND CORRUPTION POLICY



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Introduction to FutureQuals

FutureQuals is forward thinking, learner and customer-focussed, and committed to delivering inspiring learning and skills.

Our Values

"We are a Visionary, Supportive, Innovative and Professional Awarding Organisation that is committed to excellence".

Our Vision

"We envisage a place in which every learner realises their full potential"

Our Mission

"To provide respected and valued qualifications and assessment to enable quality assured learning"

FutureQuals is recognised to deliver regulated qualifications by Ofqual in England, CCEA Regulation in Northern Ireland, the Scottish Qualifications Authority (SQA Accreditation) and Qualifications Wales to offer a comprehensive and diverse range of qualifications across a wide range of vocational areas many of which are transferable across industries and sectors.

A full list of FutureQuals current qualifications can be accessed at <http://www.futurequalsquals.com>

We have developed a genuine understanding and insight into all types of educational organisations, which ensures that we are highly responsive to their needs. We offer a wide range of benefits and support for our learners, our approved centres, and their assessment and quality assurance teams.

FutureQuals offers a wide range of benefits and support for all of our educational products and services including:

- Vocational qualifications accredited by the UK regulators and recognised by employers, universities and professional bodies
- 24/7 online management systems for the registration of learners, ensuring highly efficient services and access to assessment and results.
- A diverse range of qualifications
- A flexible approach to assessment
- A network of professionals who examine and quality assure our regulated qualifications and assessments
- Regular updates on new developments in education and training
- Unrivalled customer service support and extensive guidance materials

Anti-Bribery and Corruption Policy

Introduction

FutureQuals is committed to the highest ethical standards of honesty, conduct and integrity in all our business dealings and relationships wherever we operate and implementing and enforcing effective systems to counter bribery and corruption.

We take a zero tolerance approach to bribery and corruption and prohibit anyone from working for or on behalf of FutureQuals from offering, promising, giving, seeking or accepting a bribe.

We are bound by UK law including the Bribery Act 2010 in respect of our countering bribery and corruption domestically and overseas but will also uphold the associated laws of any country in which we operate.

It is a criminal offence to offer, promise, give, request, or accept a bribe. Bribery and corruption are punishable for individuals by up to 10 years' imprisonment and/or a fine. If FutureQuals were found to have taken part in corruption the penalties we could face include unlimited fines, excessive reputational damage and being excluded from tendering for public contracts. We therefore take our legal responsibilities very seriously.

The purpose of this policy is to:

- Set out our responsibilities and the responsibilities of those working for FutureQuals and upholding our position on bribery and corruption, and
- Provide information to anyone working for, or on behalf of FutureQuals on how to recognise and deal with bribery and corruption issues.

In this policy, Third Party means any individual or organisation contracting with us and/or working for or on behalf of us (excluding our employees), and includes actual and potential clients, customers, suppliers, distributors, business contracts, agents, representatives and advisers.

This policy applies to all individuals working for or on behalf of FutureQuals at all levels (including all Third Parties and the FutureQuals Governing Body). This policy will be communicated to all employees of FutureQuals and appropriate training on this policy will be provided to the employees. We shall make this policy available to all Third Parties, upon request.

This policy does not form part of any employee's contract of employment and we may amend it at any time.

Definition of Bribery

A bribe is an inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage. It is not limited to a financial reward and can take any form where the intent is to induce or reward improper performance of a position of trust.

A facilitation payment is an unofficial payment made to secure or speed up a routine government action by a government official. These types of payment are different from an official, publically available fast track process.

Examples:

Offering a bribe

You offer a potential client tickets to a major sporting event, but only if they agree to do business with us.

This would be an offence as you are making the offer to a commercial and contractual advantage. We may also be found to have committed an offence because the offer has been made to obtain business for us. It may also be an offence for the potential client to accept your offer.

Receiving a bribe

A supplier gives your nephew a job, but makes it clear that in return they expect you to use your influence on our organisation to ensure we continue to do business with them. It is an offence for the supplier to make such an offer. It would be an offence for you to accept the offer as you would be doing so to gain a personal advantage. Whilst FutureQuals currently does not operate internally, these types of payments exist in some countries where we may wish to operate in future.

Facilitation Payment

A customs officer requests a small payment to secure the clearance of FutureQuals imported equipment through customs.

This is likely to be a facilitation payment as you are paying an official to do a routine action. If there is any doubt over the legitimacy of the request, you should ask for written details of what the payment is for and why it is required.

Your responsibilities

You must ensure that you read, understand and comply with this policy.

An individual working for or on behalf of FutureQuals (including all and any Third Parties) are required to avoid any activity that may lead to, or suggest, a breach of policy. You are responsible for preventing bribery and any other form of corruption and reporting it.

If you are offered a bribe by a third party, or are asked to make one, suspect that this may happen in the future, or believe that you are a victim of another form of unlawful activity you must report it. Any breach of this policy could result in criminal proceedings against you and FutureQuals and therefore anyone found to be in breach of this policy may face investigation and disciplinary action which could result in dismissal for gross misconduct (if they are an employee of FutureQuals). We

reserve our right to terminate a contractual relationship with any employee and/or Third Party if they are in breach this policy.

Therefore, you must not:

- offer, promise or give 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;
- seek or accept any bribe either for yourself or on behalf of FutureQuals;
- offer, promise or give any facilitation payment on behalf of FutureQuals;
- 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;
- accept a payment, gift or hospitality from a third party that you know or suspect is offered with the expectation that we will provide a business advantage for them or anyone else in return;
- accept hospitality from a third party that is unduly lavish or extravagant under the circumstances;
- threaten or retaliate against another individual who has refused to commit a bribery offence or who has raised concerns under this policy; or
- engage in any other activity that might lead to a breach of this policy.

You must report any attempt made by a third party or a colleague to influence your behaviour, by offering you a bribe or any other form of inducement, even if you reject such offer or inducement.

If you are an employee of FutureQuals, you must also inform your line manager in accordance with the FutureQuals Public Information Disclosure Policy (Whistleblowing) as soon as possible, if you believe a breach of this policy has occurred, or may occur in the future. We aim to encourage openness and will support anyone who raises genuine concerns in good faith under this policy, even if they turn out to be mistaken.

All concerns raised are investigated in line with the Whistleblowing policy and all logged concerns are reviewed regularly by FutureQuals' Executive Committee to ensure that our policies and processes are adequate to prevent bribery and corruption.

The FutureQuals' Governing Body has overall responsibility for ensuring this policy complies with our legal and ethical obligations and that all those under our control comply with it.

FutureQuals' Responsible Officer has primary and day to day responsibility for implementing this policy, and for monitoring its use and effectiveness and dealing with any queries on its interpretation.

Heads of Service are responsible for ensuring that those reporting to them, including Third Parties, are made aware of and understand this policy and are given adequate and regular training on it.

Receiving Gifts and Corporate Hospitality – Employees only

FutureQuals appreciates that the practice of giving and receiving business gifts and hospitality is used in order to build and maintain relationships and in many cases it will be appropriate to accept an invitation to lunch or dinner or a corporate event with a customer or supplier.

This policy does not prohibit the giving or receiving normal business hospitality but offers a common sense approach. We all have a sense of what is normal and acceptable and what generally isn't and needs to be avoided.

You can openly accept small promotional gifts such as pens and calendars from customers and /or suppliers up to a nominal value of £30 without the need to check with your line manager first.

You can openly accept small scale hospitality up to a nominal value of £50 from customers and/or suppliers without the need to check with your line manager first.

You will need to get approval from your line manager in relation to other gifts who will discuss whether or not it is appropriate in the circumstances to accept it.

Approval must be sought with regard to all hospitality offered prior to acceptance. It will not be acceptable to accept gifts or hospitality if it could be interpreted as placing an obligation on or giving benefit to FutureQuals or is offered during business negotiations or a tender process by a party involved in those negotiations.

If your line manager decides it is not appropriate for you to accept a gift it should be returned with a note thanking the sender of the gift, but explaining that it is not FutureQuals policy to receive gifts.

It is your line manager's responsibility to keep records of all gifts and hospitality offered to team members and if they were accepted or declined.

Giving Gifts and Corporate Hospitality – Employees only

FutureQuals will only authorise the giving of gifts, hospitality and promotional expenditure that is reasonable and appropriate to the circumstances and completed openly, not secretly.

It is acceptable if it is not made with the intention of influencing a third party to obtain or retain a business advantage or to reward such an advantage. Gifts should not include cash or a cash equivalent such as a gift certificate or voucher.

If you wish to give a gift or provide hospitality to suppliers, customers or other business contacts, you must obtain prior approval from your line manager. In order for your line manager to consider if the request is reasonable and appropriate, you must provide details of the intended recipients, the reason, the cost and the objective.

Record Keeping

We must keep financial records and have appropriate internal controls in place which will evidence the business reason for making payments to any third party. We expect all of our Third Parties to have similar records and internal controls in place.

All employees of FutureQuals must declare to their line manager all hospitality or gifts accepted, offered or declined. The appropriate line manager will keep a written register of such hospitality or gifts and submit the register to the Head of Compliance monthly.

The Responsible Officer and the Executive Committee will review and monitor the full register at their quarterly meeting and an overview of activity shall be presented to the Governing Body at any subsequent meeting.

Potential Risk Scenarios – “Red Flags”

The following is a list of possible red flags that may arise during the course of you working for us (whether you are an employee or a Third Party) and which may raise concerns under various anti-bribery and anti-corruption laws.

If you encounter any of these red flags and (a) you are a Third Party, you must report them promptly to the Head of Compliance at FutureQuals (b) you are an employee of FutureQuals, you must report them promptly using the procedure set out in the Whistleblowing Policy:

- a) you become aware that a third party engages in, or has been accused of engaging in, improper business practices;
- b) you learn that a third party has a reputation for paying bribes, or requiring that bribes are paid to them;
- c) a third party insists on receiving a commission or fee payment before committing to sign up to a contract with us, or carrying out a government function or process for us;
- d) a third party requests payment in cash and/or refuses to sign a formal commission or fee agreement, or to provide an invoice or receipt for a payment made;
- e) a third party requests that payment is made to a country or geographic location different from where the third party resides or conducts business;
- f) a third party requests an unexpected additional fee or commission to "facilitate" a service;
- g) a third party demands lavish entertainment or gifts before commencing or continuing contractual negotiations or provision of services;
- h) a third party requests that a payment is made to "overlook" potential legal violations;
- i) a third party requests that you provide employment or some other advantage to a friend or relative;
- j) you receive an invoice from a third party that appears to be non-standard or customised;
- k) a third party insists on the use of side letters or refuses to put terms agreed in writing;
- l) you notice that we have been invoiced for a commission or fee payment that appears large given the service stated to have been provided;
- m) a third party requests or requires the use of an agent, intermediary, consultant, distributor or supplier that is not typically used by or known to us; and/or
- n) you are offered an unusually generous gift or offered lavish hospitality by a third party.

Policy Review Arrangements

This policy is subject to a three-year review cycle, or earlier should any feedback or concern be brought to the attention of FutureQuals, to ensure it remains fit for purpose and the process and its outcomes are deliverable.

It is also reviewed as part of FutureQuals continuous improvement monitoring through its annual self-assessment arrangements.



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