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# MannionDaniels

## Conflict of Interest Policy

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<b>Document Control</b>	
<b>Approved by:</b>	MannionDaniels' Directors
<b>Responsible Owner:</b>	Director, Head of Operations
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## General Information

<b>CREATED:</b>	31 January 2015
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### Process Owner

Director/Head of Operations

### Purpose

This Conflict of Interest Policy sets out MannionDaniels' approach to identifying, dealing and managing conflicts of interest. A conflict of interest arises when an individual is influenced by personal considerations in the course of doing his or her job. This introduces the risk that decisions can be made for the wrong reasons - financial or other personal rewards may adversely influence objectivity, integrity or professional commitment. This Conflict of Interest Policy is to ensure the decision-making approach of MannionDaniels is conducted transparently, to uphold the reputation and integrity of the Company and its clients and stakeholders.

### Issue Status

ISSUE	AMENDMENT & DATE	INITIALS
1.	Policy reissued to incorporate Fund Management 30/01/2015	MW
2.	Declaration form updated 31/01/2017	MW
3.	Policy and declaration forms updated on 16/11/ 2017	MW

## 1. Introduction

MannionDaniels works for a more healthy, equitable, inclusive, safe and sustainable world. We partner with communities and clients worldwide to provide advice and support in strategic planning, policy governance, and programme management, with a particular focus on international health and social care. Much of our work focuses on reaching poor and vulnerable people, especially in fragile and conflict affected states.

MannionDaniels is committed to ensuring the highest standards of conduct in the delivery of our services. This is reinforced by our Business Code of Ethics and related policies including anti-bribery and corruption policy. We acknowledge that conflicts of interest can occur during business activities and can adversely affect MannionDaniels' reputation and effectiveness in working for a more healthy, equitable, inclusive, safe and sustainable world. This document sets out the standards expected and how to manage any perceived or actual conflict of interest. The guidance in this policy is informed by UK legislation and regulations which MannionDaniels remains subject to. We will also adhere to equivalent applicable legislation in other countries where we operate or deliver services.

### 1.1 Scope

This policy applies to all staff on a permanent or fixed term contract, and to all associated individuals, contractors and third party representatives engaged by the company in the UK or overseas and for any MannionDaniels subsidiary companies. All contractors and agents acting for and on behalf of the company should be made aware of this policy. This policy applies to all personal, financial or political conflicts of interest.

## 2. Definition of Conflict of Interest

A conflict of interest is a set of circumstances that creates a risk that an individual's ability to apply judgement or act in one's role is, or could be, impaired or influenced by a secondary interest. It can occur in any situation where an individual or organisation (private or government) can exploit a professional or official role for personal or other benefit.

Conflicts can exist if the circumstances create a risk that decisions may be influenced, regardless of whether the individual benefits. The perception of competing interests, impaired judgement or undue influence can also be a conflict of interest. Potential conflicts of interest are most frequently grouped in these broad categories:

- **Organisational Conflict of Interest** - Where MannionDaniels is dealing with a similar subject for two different clients with competing or inconsistent interests
- **Individual Conflict of Interest** - Where an individual (e.g. director, staff, consultant or third party) has financial, previous employment, or other personal interest in the affairs of a client of MannionDaniels, a competitor of that client, or one client of our suppliers or competitors. Individual conflict of interests may be **direct or indirect** - where the individual has a close association with an individual who has a financial interest, a non-financial professional interest or a non-financial personal interest (e.g., spouse/partner, close relative, close friend, business partner).

Individual and organisational conflicts of interest are specifically addressed in UK policies and legislation for companies<sup>1</sup>; in laws to avoid contract awards based on bias or unfair competitive advantage<sup>2</sup>; as well as fraud, bribery, anti-corruption, terrorism, and money laundering<sup>3</sup>. It is important to note that some of our clients have policies on conflict of interest and their tender solicitations and contracts sometimes include organisational conflict of interest clauses that require us to disclose details of any circumstances, including personal, financial and business activities that will, or might, give rise to a conflict of interest. In all cases whether at the individual or organisational level, our own policy requires that we take prudent steps to identify and avoid conflicts of interest.

### 2.1 Identifying conflict of interest

Conflicts of interest are a common and unavoidable part of management that can arise in a range of situations and environments. MannionDaniels' approach is to recognise that these risks will arise and to put measures in place to identify and manage conflicts when they do arise.

Within the business areas conducted by MannionDaniels, conflicts of interest are more likely to arise where individuals or organisations are transacting with a third party. This includes practises such as:

- Commissioning and procurement decisions
- Recruiting staff
- Partnering with other organisations; and when receiving gifts
- Selection and scoring decisions of grantees as part of a fund management process
- Delivery of policy advice and technical assistance to third parties.

#### Conflicts may occur in the following situations:

- When an individual's financial or political interests affect their responsibilities and duty to MannionDaniels
- Where an individual's financial or political interests compromise, or undermine the decision-making process or integrity of MannionDaniels' business services and the quality of its services
- Where an individual uses their position within MannionDaniels to benefit themselves, or a party that they are connected to, to further their financial or political position.

#### Specific examples of conflict scenarios include:

- A Grant Manager advocating to endorse a grant for an organisation which they are connected to, for example if they are a Board member for the organisation in question
- A Manager advocating to select an organisation or consultant in return for a financial gift. Please also see Anti-corruption and Bribery policy for details for 'Gifts and Hospitality'
- Provision of biased technical policy advice to a public body for the purposes of business or personal gain

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<sup>1</sup> Companies Act 2006; Companies Securities (Insider Dealing) Act 1985

<sup>2</sup> Competition Act 1998

<sup>3</sup> Fraud Act 2006; Money Laundering Regulations 2007; Bribery Act 2012; Counter Terrorism and Security Act 2015

- Inviting and receiving privileged information from a public body related to a restricted procurement procedure.

## 2.2 Managing conflicts of interest

All individuals involved in the decision-making processes have a duty to identify and disclose actual or potential conflicts of interest. On an annual basis, all staff and contractors should routinely declare all private, personal and financial interests relevant to their jobs in relation to:

- decision-making
- management of contracts, and
- giving policy advice.

All individuals involved in the decision-making must complete the “Conflict of Interest Declaration Form” (Annex 1) to declare any known conflicts of interest or to make a nil return. The declaration form will be updated annually.

On an on-going basis, it is the responsibility of the individual, contractors and suppliers to identify ad-hoc conflicts of interest which arise as a result of their involvement in ongoing business activities.

## 2.3 Resolving conflicts of Interest:

Individuals, contractors, suppliers or grantees must first raise a potential conflict of interest with the responsible officer or line manager. The discussion should establish:

- What is the actual or perceived Conflict of Interest
- Whether it is possible to continue with the activity but implement actions to mitigate any risk. This could include closer monitoring, revisions to plans, exclusions from decision making activities and disclosure of all relevant information to others involved in the process
- Whether to be excluded from the activity.

The individual or party concerned should then complete and submit **Part A** of the “Conflict of Interest Declaration Form” to document the actual or perceived conflict of interest. Where it is quite clear to the responsible officer or line manager that there is no conflict of interest then individuals, contractors, suppliers or grantees may proceed with the action/activity proposed. The responsible officer/line manager should confirm this in writing to the individual, contractor, suppliers or grantee by completing **Part B** of the “Conflict of Interest Declaration Form”. Final versions of the two form parts should be submitted to the Director/Head of Operations and Compliance Manager for final sign off and registration in the “Conflict of Interest log”.

**If the course of action cannot be agreed or is unclear the manager should escalate the issue to the Compliance Manager and Director/Head of Operations.**

**Once an actual or perceived conflict has been identified the following steps must be taken:**

- The individual completes **Part A** of the “Conflict of Interest Declaration” form and submits this to line manager/senior responsible officer or manager responsible for the project and the Director/Head of Operations
- The individual, line manager and Director/Head of Operations then review **Part A** of “Conflict of Interest Declaration” form and agree mitigation actions and timelines (if

applicable) in **Part B** of the form. For all proposed mitigation actions, reasons for reaching the decisions must be given to the parties concerned by the Director /Head of Operations

- All parties concerned then sign on the form to confirm awareness of the conflict(s) of Interest and to sign off on the mitigation actions
- The Director/Head of Operations and Compliance Manager updates the company “Conflict of Interest Log”, with details of the decision and mitigating actions.

### 2.4 Monitoring and training on conflicts of interest

Training on the conflict of interest policy is mandatory for all MannionDaniels staff. All new staff and consultants (where applicable) will receive training on this policy and the related policies and procedures referred to above.

Refresher training will be conducted on a regular basis for existing personnel, and managers should include Conflict of Interest in their agendas for team meetings, this will ensure we are reinforcing our desire to respect the information of data subjects and promote best practice and consistent standards

### 2.5 Suppliers and subsidiaries of MannionDaniels

As a matter of good practice, other agencies and individuals working with MannionDaniels, will be expected to have read and comply with this policy. It is expected that individuals in the organisation who deal with external agencies or partners will take responsibility for ensuring an appropriate contract is in place to ensure compliance with this policy.

### 2.6 Keys to Compliance – “Dos and Don’ts”

#### Do Not

- misuse information acquired in the course of duties
- disclose official information without authority. This duty continues to apply after the end of a contract
- take part in any political or public activity which compromises or might seem to compromise your impartiality
- misuse your official position to further your own or others private interests
- give the impression that you have or may have been influenced by a gift or consideration to show favour or disfavour to a person or organisation
- abuse or ignore procedures relating to the provision of official entertainment and retreats
- take on roles in other client funded organisations or companies unless an exemption has been agreed in writing
- behave in a way which could give rise to suspicion of any real or perceived conflict of interest between official duty and private interests.

#### Do

- Declare any personal or financial interest in partners, contractors, suppliers or other third parties so that professionalism is not compromised
- Be aware of special conflict of interest rules for client contracts
- Avoid situations where a reasonable person would question whether there was inappropriate influence involved in a business decision

- Deal with partners, consultants, suppliers, and everyone doing business with MannionDaniels objectively, professionally and fairly
- Ensure that there is separation of duties/decision making.

## **2.7 Non-Compliance**

Failure to disclose an actual or perceived conflict of interest will be investigated by MannionDaniels and may result in disciplinary action and, in serious cases, dismissal. Further, any criminal offences will also be considered for referral to the relevant authorities.

## Annex 1

### Conflict of Interest Declaration Form

The purpose of this Conflict of Interest Declaration is to identify any potential conflict of interests for employees, individuals and organisations working with MannionDaniels.

All individuals and organisations associated with MannionDaniels must disclose any circumstances, including personal, financial and business activities that will, or might, give rise to a conflict of interest during their work with MannionDaniels. This includes declaring any ongoing interests in other organisations that the individual has an interest in (such as a board member, affiliate or stakeholder).

On an ongoing basis individuals and organisations have the responsibility to identify actual or potential conflict of interests which were not known at the point of signing the declaration form. As soon as they become aware of such conflict, it should be declared to MannionDaniels. In such an instance, MannionDaniels will advise on next steps.

Please complete the form below identifying any interests which MannionDaniels should be aware of. Send the signed declaration form to your line manager/senior responsible officer or the manager responsible for the project. Be sure to copy to the Director/Head of Operations.

Part A: Declaration of Interests	
<b>Name:</b>	
<b>Position:</b>	
I have no conflict of interest to declare <input type="checkbox"/> (Please check box if you have no conflict of interest).	
<b>Or</b>	
<b>I have the following conflicts of interest to declare.</b> (Please provide a description of the conflict of interest and how it impacts on your work).	<b>Date Identified or commenced</b>
1.	
2.	

Declaration
I declare that the information above is correct and that no other current or potential conflict of interest is known to me. I will inform MannionDaniels of any changes in these circumstances.
<b>Signed:</b>
<b>Date:</b>



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**Part B** is to be completed by the concerned party declaring conflicts of interests, responsible officer or line manager, and Director/Head of Operations.

<b>Part B: Detailed Conflicts of Interest and Mitigation Actions</b>				
<b>In my opinion, the details provided (please check appropriate box) below.</b>				
<input type="checkbox"/> do not constitute an actual, potential or perceived conflict of interest by <b>[Name of Individual, Contractor, Supplier or Grantee]</b> . The activity can proceed.				
<input type="checkbox"/> do constitute an actual, potential or perceived conflict of interest by <b>[Name of Individual, Contractor, Supplier or Grantee]</b> and provide the detailed action plan below.				
Type of Interest	Description of Interest (Including for indirect interests, details of the relation with the person who has the interest)	Date Interest Relates		Action to be taken to mitigate risk (to be agreed with line manager and Director/Head of Operations)
		From	To	
1.				
2.				
<b>Declarations</b>				
I declare that the information above is correct and that no other current or potential conflict of interest is known to me. I will abide the proposed actions to mitigate the identified conflicts of interest and will inform MannionDaniels of any changes in these circumstances.				
<b>Name:</b>		<b>Signed:</b>		<b>Date:</b>
<b>Company Statements</b>				
I confirm that I have been made aware of the above declaration and will manage any potential conflicts appropriately. <b>I will ensure this action plan is reviewed: [ please specify timeframe for the review]</b>				
<b>Name:</b>		<b>Position</b>	<b>Signed:</b>	<b>Date:</b>
<b>Name:</b>		<b>Position</b>	<b>Signed:</b>	<b>Date:</b>