

The British Institute for the Study of Iraq

Conditions Attached to the Award of Academic Grants

Use of the Award

1. The award is to support the proposed project described in the application. If the resulting project is expected to vary in any significant way, prior approval must be sought from BISI's Fieldwork and Research Committee
2. Expenditure should be made in accordance with the items originally set out in the application. Expenditure may be varied between budget heads, within reason. Small adjustments may be made without recourse to BISI, but if any significant adjustment to the proposed expenditure is envisaged, prior permission should be sought from BISI's Fieldwork and Research Committee.

Research Ethics

3. BISI attaches considerable importance to the maintenance of high ethical standards in the development, conduct and reporting of the research it supports and to ensure that it is conducted in a professional manner and will not give rise to distress or annoyance to individuals. Grant holders are required to carry out the sponsored project with due regard for BISI's Ethical Practice Policy, copied in full on page 3.
4. It is the responsibility of the award-holder to ensure that research is organised and undertaken within a framework of best practice and BISI expects research to be conducted in accordance with the highest standards of integrity and research methodology. Ethical issues should be interpreted broadly and may encompass, among other things, relevant codes of practice, the involvement of human participants, tissue or data in research, research that may result in damage to the environment and the use of sensitive economic, social or personal data.
5. BISI has a zero tolerance policy towards bribery and corruption and is committed to acting fairly and with integrity in all of its business dealings and relationships and implementing and enforcing effective systems to counter bribery. Grant award-holders are required to comply with BISI's Anti-Bribery Policy, copied in full on the pages 4-7.

Health and Safety

6. The British Institute for the Study of Iraq accepts no responsibility for the personnel of sponsored projects while in Iraq.
7. Award-holders must consult Foreign and Commonwealth Office Travel Advice and the British Embassy in Baghdad, as well as Iraqi project partners, before travel, and regularly reassess the security situation while in-country. Award-holders have personal responsibility to liaise with their in-country host(s) to ensure that adequate travel, accommodation, security

and communication arrangements are in place before travel, and not to take unnecessary risks while in Iraq.

8. The award-holder is responsible for ensuring a safe working environment is provided for all individuals associated with a research project. The project's approach and policy on health and safety matters must meet all regulatory and legislative requirements.

Reporting

9. Award-holders must provide a full statement of the ways in which the money provided has been spent and provide corresponding receipts/invoices for all expenditure relating to the grant. Failure to provide receipts may result in a request for funds to be returned. However the Institute will take exceptional circumstances into account.

10. Award-holders must refund any money which remains.

11. BISI should be informed of any grants received from other bodies for the supported project.

12. Six months after the project or travel has been undertaken, the award-holder must submit a short report (700 words as a word document) in a form that is appropriate for inclusion in BISI's Annual Newsletter and/or website. The submission of a report would not preclude the submission, if appropriate, of a fuller report for possible publication in the journal *IRAQ*.

13. Award-holders are expected to supply images that may be used by BISI for exhibition and publicity purposes – images should be supplied as high resolution jpegs.

Publications and Publicity Materials

14. BISI expects award-holders to be open about the publication and archive plans for the work which is being supported by BISI with the chairperson of the Publications Committee and the Fieldwork and Research Committee.

15. Due acknowledgement of support received from BISI should be made in any publication resulting from the research, whether an article, a book, or any other form of output, including events and web pages.

16. Where electronic resources are created by a project supported by BISI, community-agreed standards and best practice must be adopted with adequate provision for the long-term preservation and availability of the resources created. Guidance on suitable standards is available from the Archaeology Data Service (<http://ads.ahds.ac.uk/>) and, on completion of the project, electronic data should be offered for deposit with the Archaeology Data Service or a similar body.

Registered Charity No. 1135395

Name:

Date:

Signature:

Ethical Practice Policy
The British Institute for the Study of Iraq

- We are an apolitical, multi-ethnic, religiously neutral organisation, committed to non-discriminatory treatment of others in all aspects of our work. We operate in accordance with the [Equality Act](#);
- We respect and celebrate diversity;
- We encourage academics and educators to conduct their work with an awareness of ethical issues;
- We foster dialogue and decision-making through consensus;
- We support and collaborate with individuals and organisations who strive to contribute to research and public education about Iraq;
- We believe in working to enable Iraqis to reclaim their histories, cultures and identities; and
- We expect compliance with BISI's anti-bribery policy.

The ethical standards which apply to the BISI's activities (including research, teaching, consultancy, outreach, and fundraising work) arise from the basic principle that such activities should neither include practices which directly impose a risk of serious harm nor be indirectly dependent upon such practices. Serious harm includes, for example, failure to respect the interests of human beings and damage to items of cultural value or the natural environment. Ethical practice also requires that the use of individuals' personal data are fully justified and that statutory controls and codes of practice are observed at all times.

Anti-Bribery Policy

The British Institute for the Study of Iraq

The British Institute for the Study of Iraq (BISI) is committed to promoting and maintaining the highest level of ethical standards in relation to all of its business and charitable activities.

BISI has a zero tolerance policy towards bribery and corruption and is committed to acting fairly and with integrity in all of its business dealings and relationships and implementing and enforcing effective systems to counter bribery.

Purpose and scope of Policy

This Policy sets out the BISI's position on any form of bribery and corruption and provides guidelines aimed at:

- ensuring compliance with anti-bribery laws, rules and regulations, not just within the UK but in any other country within which BISI may carry out its business or in relation to which its business may be connected
- enabling employees and persons associated with BISI to understand the risks associated with bribery and to encourage them to be vigilant and effectively recognise, prevent and report any wrongdoing, whether by themselves or others
- providing suitable and secure reporting and communication channels and ensuring that any information that is reported is properly and effectively dealt with
- creating and maintaining a rigorous and effective framework for dealing with any suspected instances of bribery or corruption.

This Policy applies to all permanent and temporary employees of BISI (including any of its intermediaries, subsidiaries or associated companies). It also applies to any individual or corporate entity associated with BISI or who performs functions in relation to, or for and on behalf of, BISI, including, but not limited to, directors, trustees, grant holder, volunteers, agency workers, casual workers, contractors, consultants, seconded staff, agents, suppliers and sponsors ("associated persons"). All employees and associated persons are expected to adhere to the principles set out in this Policy.

Legal obligations

The UK legislation on which this Policy is based is the Bribery Act 2010 and it applies to the BISI's conduct both in the UK and abroad.

A bribe is an inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage.

It is an offence in the UK to:

- offer, promise or give a financial or other advantage to another person (i.e. bribe a person), whether within the UK or abroad, with the intention of inducing or rewarding improper conduct
- request, agree to receive or accept a financial or other advantage (i.e. receive a bribe) for or in relation to improper conduct
- bribe a foreign public official.

You can be held personally liable for any such offence.

It is also an offence in the UK for an employee or an associated person to bribe another person in the course of doing business intending either to obtain or retain business, or to obtain or retain an advantage in the conduct of business, for the BISI. BISI can be liable for this offence where it has failed to prevent such bribery by associated persons. As well as an unlimited fine, it could suffer substantial reputational damage.

Policy statement

All employees and associated persons are required to:

- comply with any anti-bribery and anti-corruption legislation that applies in any jurisdiction in any part of the world in which they might be expected to conduct business
- act honestly, responsibly and with integrity
- safeguard and uphold the BISI's core values by operating in an ethical, professional and lawful manner at all times.

Bribery of any kind is strictly prohibited. Under no circumstances should any provision be made, money set aside or accounts created for the purposes of facilitating the payment or receipt of a bribe.

BISI recognises that industry practices may vary from country to country or from culture to culture. What is considered unacceptable in one place may be normal or usual practice in another. Nevertheless, a strict adherence to the guidelines set out in this Policy is expected of all employees and associated persons at all times. If in doubt as to what might amount to bribery or what might constitute a breach of this Policy, refer the matter to BISI's Anti-Corruption Officer.

The giving of business gifts to clients, customers, contractors and suppliers is not prohibited provided the following requirements are met:

- the gift is not made with the intention of influencing a third party to obtain or retain business or a business advantage, or to reward the provision or retention of business or a business advantage
- it complies with local laws
- it is given in the BISI's name, not in the giver's personal name
- it does not include cash or a cash equivalent (such as gift vouchers)
- it is of an appropriate and reasonable type and value and given at an appropriate time
- it is given openly, not secretly
- it is approved in advance by a director of the BISI.

In summary, it is not acceptable to give, promise to give, or offer, 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, or to accept a payment, gift or hospitality from a third party that you know or suspect is offered or provided with the expectation that it will obtain a business advantage for them.

Any payment or gift to a public official or other person to secure or accelerate the prompt or proper performance of a routine government procedure or process, otherwise known as a “facilitation payment”, is also strictly prohibited. Facilitation payments are not commonly paid in the UK but they are common in some other jurisdictions.

Responsibilities and reporting procedure

It is the contractual duty and responsibility of all employees and associated persons to take whatever reasonable steps are necessary to ensure compliance with this Policy and to prevent, detect and report any suspected bribery or corruption immediately to BISI’s Anti-Corruption Officer. For the avoidance of doubt, this includes reporting your own wrongdoing. The duty to prevent, detect and report any incident of bribery and any potential risks rests not only with the directors of BISI but equally to all employees and associated persons.

The Company encourages all employees and associated persons to be vigilant and to report any unlawful conduct, suspicions or concerns promptly and without undue delay so that investigation may proceed and any action can be taken expeditiously. Confidentiality will be maintained during the investigation to the extent that this is practical and appropriate in the circumstances. BISI is committed to taking appropriate action against bribery and corruption. This could include either reporting the matter to an appropriate external government department, regulatory agency or the police and/or taking internal disciplinary action against relevant employees and/or terminating contracts with associated persons.

BISI will support anyone who raises genuine concerns in good faith under this Policy, even if they turn out to be mistaken. It is also committed to ensuring nobody suffers any detrimental treatment as a result of refusing to take part in bribery or corruption, or because of reporting in good faith their suspicion that an actual or potential bribery or corruption offence has taken place or may take place in the future.

Record keeping

All accounts, receipts, invoices and other documents and records relating to dealings with third parties must be prepared and maintained with strict accuracy and completeness. No accounts must be kept “off the record” to facilitate or conceal improper payments.

Sanctions for breach

A breach of any of the provisions of this Policy will constitute a disciplinary offence. Depending on the gravity of the offence, it may be treated as gross misconduct and could render the employee liable to summary dismissal.

As far as associated persons are concerned, a breach of this Policy could lead to the suspension or termination of any relevant contract, sub-contract or other agreement.

Monitoring compliance

BISI’s Anti-Corruption Officer (currently the Chair of Research and Fieldwork, Professor Charles Tripp) has lead responsibility for ensuring compliance with this Policy and will review its contents on a regular basis. They will be responsible for monitoring its effectiveness and will provide regular reports in this regard to the directors of BISI who have overall responsibility for ensuring this Policy complies with BISI’s legal and ethical obligations.

Training

BISI will provide training to all employees to help them understand their duties and responsibilities under this Policy. BISI's zero tolerance approach to bribery will also be communicated to all business partners at the outset of the business relationship with them and as appropriate thereafter.