

Our Communication on Progress to the United Nations Global Compact

September 2009



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A view from our offices



About Maplecroft

Who we are

Maplecroft is the leading source of global risks intelligence. We analyse, index and map global risks for countries and evaluate and rate the global risks resilience of companies. We cover climate change, human rights, political risk, macro-economic risk and a wide set of ESG criteria. We use a highly quantitative approach to risk assessment, and specialise in presenting our thoroughly researched and analysed risk data in innovative, engaging and comparable forms – all of which can be integrated into our clients’ own risk management processes.

What we do

We help major brands manage global risks and corporate responsibility, build reputation and harness leadership opportunities. Our work combines creative design and software engineering with meticulous analysis of the political, economic, social and environmental landscape, in order to communicate risk and responsibility in visually compelling ways. We are a trusted advisor to some of the world’s leading companies. Our employees are among the world’s leading non-financial risk analysts and thought leaders.



Background information

Company name	Maplecroft
Address	The Towers St Stephen’s Road Bath BA1 5JZ
Country	UK
Telephone no.	+44 (0) 1225 420 000
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Web addresses	http://www.maplecroft.com/ http://www.global-risks.com/ http://maps.maplecroft.com/
Submission date	02 October 2009
Membership date	11 February 2005
Number of employees	40+ full time employees 2+ part time employees
Sector	Professional, Scientific and Technical Services
Contact name	Gus Macfarlane
Contact position	Associate Director

The Towers



Case study: Bath half marathon

In September 2009, Maplecroft formed a team of eight people to take part in the Bath half marathon (13.1 miles) in March 2010. This is one of the longest established and most popular city centre road events in the United Kingdom. It is also a major fundraising event, having generated more than £1.2 million in the last year.

The Maplecroft team will be raising money for 'Stop the Traffik'. This is a growing global movement of individuals, communities and organisations aiming "to prevent the sale of people, protect the trafficked and prosecute the traffickers." It was established in 2006 to:

- Educate (by raising awareness and understanding of human trafficking and what can be done about it)
- Advocate (by engaging with communities and professionals to make it harder to traffic, hide and exploit people)
- Fundraise (in order to finance Stop the Traffik projects and anti-trafficking activities around the world)

Stop the Traffik has more than 1,000 member organisations in 50 countries and tens of thousands of activists all over the world. It is currently focusing its work on six different workstreams:

- Raising awareness about human trafficking amongst young people
- Campaigning to eradicate human trafficking from cocoa production in Cote D'Ivoire and neighbouring countries
- Promoting 'Active Communities against Trafficking'
- Raising awareness amongst business travellers
- Organising a 2011 global summit to address human trafficking before, during and after the 2012 Olympics
- Advocating policy change at global, regional and national levels to tackle human trafficking

Statement of support

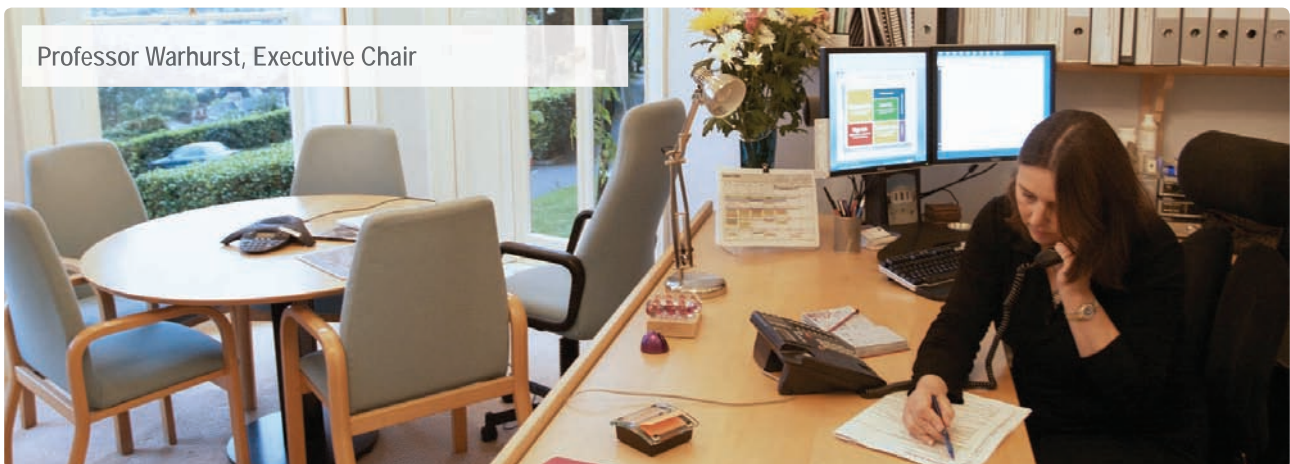
Maplecroft's commitment to the values of integrity, transparency, social responsibility and environmental proficiency continues to be underpinned by our firm support of the 10 Principles of the UN Global Compact. We are committed to supporting and advocating these principles throughout our sphere of influence, in terms of both our research and advisory work for our business clients, as well as our pro-bono activities. The work we carry out for our business clients is by its very nature aimed at enhancing their ability to conduct business in a responsible way. Maplecroft is also committed to sharing its research and analysis widely so as to educate as many people as possible about human rights, as well as the range of dilemmas that business and society face in addressing the issue responsibly.

Other examples of how we put the 10 Principles of the UN Global Compact into practice include the following:

- My participation on the Board of [Transparency International \(UK\)](#)
- Active participation by Maplecroft employees in the [UN Global Compact](#) Human Rights Working Group
- Provision of free access to selected Global Risks materials to a number of schools and universities
- Discounted provision of Global Risks materials to the [UN Office for the Coordination of Humanitarian Affairs](#)
- Discounted provision of mapping materials to the [World Economic Forum](#)
- Discounted provision of mapping services to the [North Star Foundation](#)
- Discounted development of the [Girls Discovered](#) website for the UN Foundation, Nike Foundation and the Coalition for Adolescent Girls
- Development of the UN Global Compact-hosted and GE Foundation-funded [Human Rights Solutions Forum](#)
- Continued publication and dissemination of Ethical Insight, a free fortnightly review of corporate responsibility news and analysis that is widely used amongst corporate responsibility practitioners, NGOs, companies and academics. Ethical Insight is distributed to an estimated 45,000 people via more than 5,000 subscribers
- Continued provision of free access to a selection of Maplecroft maps
- Though it is hard to accurately calculate the contribution that Maplecroft has made with respect to our educational and pro-bono work, we estimate that this amounted to £200,000 for the last year

Over the next year, we will continue to expand our business, further enhancing the ability of clients to carry out responsible business. We will also continue to broaden and deepen our engagement with more international organisations – whether in terms of pro-bono/discounted work or mutually beneficial partnerships.

Alyson Warhurst



Professor Warhurst, Executive Chair

PRINCIPLE 1: Protection of internationally proclaimed human rights

Our commitment or policy

We are committed to supporting and respecting the protection of internationally proclaimed human rights. Our commitment applies to our own operations, our sphere of influence and our work with our clients.

A brief description of our processes and systems

We turn our commitments into practice by ensuring employees are aware of their own human rights, as well as their role in helping protect the human rights of others. We also advise and assist our clients in managing their own responsibilities in this respect. We do so using the following processes and systems:

In our own operations

- Human Rights Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes guidance on our commitment to the Global Compact with respect to the protection of human rights

In our client services

- Publishing of Ethical Insight, which includes sections covering Labour and Human Rights, Environment, Corporate Governance, Development, and Science, Technology and Health. Ethical Insight is distributed to an estimated 45,000 people via more than 5,000 subscribers
- Publishing of Global Risks Forecast, which provides analysis on non-financial risks, with specific sections relevant to the Principles of the Global Compact, including Societal Risk, Corporate Governance, Macroeconomics and Development, Supply Chain Risk, Climate Change, Environment and Natural Resources, Pandemics and Public Health
- Compilation of non-financial risk indices and maps, including those addressing the Global Compact themes of human rights, labour standards, the environment and anti-corruption
- Strategy and policy development using the Maplecroft Policy Bank, which relates to all four themes of the Global Compact
- Risk, responsibility and reputation management, using a proprietary approach based on best practice standards
- Stakeholder engagement using proprietary approaches to identify human rights, labour standards, the environment and anti-corruption issues relevant and material to stakeholders

- Assessment, monitoring and auditing of human rights, labour standards, environmental and anti-corruption performance using our suite of electronic 'Principles-Plus' tools
- Reporting clients' human rights, labour standards, environmental and anti-corruption performance through the development and evaluation of corporate responsibility reports

Our actions over the last year

- Continued to develop and update our [Human Rights Risk Reports](#), indices and briefings, as well as other related Global Risks products
- Continued to hold our Employee Forum – a weekly meeting to which all staff are invited in order to discuss company business and employee concerns
- Continued to work with international organisations and business, for example through:
 - Continued development of the UN Global Compact-hosted and GE Foundation-funded [Human Rights Solutions Forum](#)
 - Participation by Professor Warhurst and Dr. Franklin on the Human Rights Working Group of the UN Global Compact
 - Facilitation by Professor Warhurst of the Clinton Global Initiative working group on human trafficking, as well as the provision of relevant mapping materials
- Commissioning of a comprehensive health and safety review by an independent consultancy in August 2009

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement
- To continue to ensure Maplecroft promotes the respect of human rights through the deepening of partnerships with relevant international businesses and organisations
- Implement recommendations from the August 2009 health and safety review

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

PRINCIPLE 2: Ensure non-complicity in human rights abuses

Our commitment or policy

Maplecroft is committed to ensuring that the organisation, its employees, its suppliers and its customers are not complicit in human rights abuses. Our commitment applies to our own operations, our sphere of influence and our work with our clients.

A brief description of our processes and systems

As part of our commitment, we ensure employees are not complicit in human rights abuses, and help clients manage their responsibilities in this respect. We do so using the following processes and systems:

In our own operations

- Human Rights Policy (as part of our overarching Corporate Responsibility Policy)
- Labour Standards Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes guidance on our non-complicity commitment to the Global Compact

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- See Principle 1

Our targets for next year

- See Principle 1

Viewpoints of employees

"Our human rights products and services are playing an ever-growing role in our business. This reflects growing recognition around the world of the role that multi-national companies have to play in protecting these rights."

Saskia Garner, Risk Analyst

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

Case study: Update – Human rights dilemmas and solutions forum

Since the last Communication on Progress, the joint project between Maplecroft, the GE Foundation and the UN Global Compact on human rights dilemmas has seen significant development. This includes the development of the [Human Rights Solutions Forum](#) website, which now hosts interactive html and PDF materials on 30 different human rights [Themes](#) affecting multinational corporations operating in emerging markets. At the time of writing, an initial set of five interactive [Dilemma Workbooks](#) have also been published, focusing on:

- HIV/AIDS
- Freedom of association and collective bargaining
- Migrants workers
- Equality and gender
- Human trafficking

Each of these is supported by a dedicated interactive web page, as well as multiple discussion forums for users to suggest solutions and/or comment and feedback solutions that have already been suggested. They are further supported by a range of case studies highlighting examples of positive solutions to human rights dilemmas implemented by responsible multinational companies. At the time of writing, case study partners included companies such as De Beers, Standard Chartered, HP, the Nike Foundation, Manpower and Gap.

The UN Global Compact is collaborating with Maplecroft in the development of this project through:

- Participation in steering group meetings as well as UN Human Rights Working Group meetings
- Strategic program oversight and coordination
- Facilitation of stakeholder engagement with participant companies, reviewers, potential users etc.
- Review of program outputs and materials
- Publicity and promotion of the program within and without the UN
- High-profile hosting of the Human Rights Solutions Forum on its website
- Provision of human rights expertise on an ongoing basis to assist in content development

PRINCIPLE 3: Uphold freedom of association and collective bargaining

Our commitment or policy

Maplecroft is committed to ensuring that all of its employees have the right to:

- Freely join associations of their own choice (for the purposes of rule formation, administration and the election of representatives)
- Undertake collective bargaining
- Our commitment means that we will not only abide by all applicable laws in this respect, but will act in the spirit in which they were made. This commitment applies to our own operations, our sphere of influence and our work with our clients

A brief description of our processes and systems

We put our commitments into practice by ensuring that our employees are aware of their right to freely join associations of their own choice and to participate in collective bargaining. We do so using the following processes and systems:

In our own operations

- Labour Standards Policy (as part of our overarching Corporate Responsibility Policy)
- Provision of contact information for the Amicus trade union in the Employee Handbook
- Our Employee Forum meets every week. All employees are invited to attend. The aim of these meetings is to establish a genuine dialogue between all of our employees, and to allow employees to raise issues of concern
- Employees that prefer not to discuss issues through the Employee Forum or with members of the management team are able to contact a human resources consultant employed by Maplecroft

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- Continued to hold regular Employee Forum meetings each month and to encourage genuine dialogue with and between all of our employees

- Continued to hold annual appraisals in which employees are given the chance to discuss openly and honestly any concerns regarding their working conditions
- Continued to address the issue of freedom of association and collective bargaining through our human rights reports, indices and briefings, as well as other Global Risks products
- Revised elements of our Employee Handbook in light of employee feedback. This includes a five-part framework for implementing significant changes likely to affect the rights and duties employees. In such circumstances:
 - Company directors shall consider and propose changes
 - Company directors shall consult the external human resources manager on the implications of these changes
 - Company directors shall consult employees on a collective basis (for example through the Employee Forum)
 - Where relevant, company directors will consult directly with employees who have voiced concerns over such changes, or who are likely to be significantly affected by them
 - The proposed changes shall either be implemented (taking into account employee concerns) or, where relevant, revised or abandoned
- Established a feedback mechanism for employees to offer their anonymous comments on working at Maplecroft. This has since been wound-down, however, due to limited participation

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement
- To implement an improved and better publicised feedback mechanism based on a simple and easy to use survey

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

PRINCIPLE 4: Support elimination of forced and compulsory labour

Our commitment or policy

Maplecroft is against all forms of forced and compulsory labour. Our commitment applies to our own operations, our field of influence and our work with our clients.

A brief description of our processes and systems

We implement this commitment by making sure Maplecroft is a fair and reasonable employer, whilst also helping our clients manage their responsibilities in this respect. We do so using the following processes and systems:

In our own operations

- Labour Standards Policy (as part of our overarching Corporate Responsibility Policy)
- All employees are issued with basic terms and conditions of contract when they join the organisation
- Employee Handbook, which includes guidance on our policies in relation to, and opposition to all forms of forced and compulsory labour
- Employment of an external human resources management expert to provide employment advice to all staff
- Annual performance reviews in which employees are encouraged to put forward any concerns

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- Continued to address the challenge of forced and compulsory labour through our human rights reports, indices and briefings, as well as other Global risks products
- Continued to provide employees access to a voluntary Stakeholder Pension Scheme based on employees' voluntary pension contributions, as well as contributions by Maplecroft
- Continued to provide access to a Health Cash Plan that provides a set budget for certain health treatments based on employees' voluntary contributions

- Continued to expand office space to ensure the provision of a safe, healthy and enjoyable working environment as employee numbers grow
- Awarded share option bonuses to a significant number of employees in recognition of their commitment, ability and hard work
- Awarded additional leave to employees who have (due to short-term business demands) been required to work significantly beyond their contracted hours
- Made it company policy that no employee would be required to work on a project or with a client where they had serious ideological, philosophical or ethical objections

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement
- To implement an improved and better publicised mechanism to encourage more employees to provide feedback on their working lives. This will be based on a simple and easy to use mechanism such as an anonymous multiple choice survey. Likely questions include those addressing working conditions, job satisfaction, communication and other related subjects.

Viewpoints of employees

"Forced labour can be a serious reputational risk for multi-national companies with lengthy and complex supply chains. We work to help them identify this risk and manage it in a positive and responsible way."

Monique Bianchi, Risk Analyst

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

PRINCIPLE 5: Support abolition of child labour

Our commitment or policy

Maplecroft is committed to the effective abolition of child labour. Our commitment applies to our own operations, our field of influence and our work with our clients.

A brief description of our processes and systems

We honour our commitment by ensuring we support the effective abolition of child labour, and by helping our clients do so. We do this using the following processes and systems:

In our own operations

- Labour Standards Policy (as part of our overarching Corporate Responsibility Policy)
- The dates of birth of all new employees, who are of a sufficiently young age, are checked to ensure that they are above minimum school leaver's age before employment

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- Continued to address the challenge of child labour through our human rights reports, indices and briefings, as well as other Global risks products

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement

Viewpoints of employees

"This is a key issue for our human rights team, which has developed a range of tools, products and services to help our clients ensure they are not complicit in child labour via their suppliers and subcontractors."

Anthony Davis, Risk Analyst

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

Ed Cole, Managing Director



PRINCIPLE 6: Support elimination of discrimination

Our commitment or policy

Maplecroft is committed to ensuring equal opportunities for all of its employees. In particular, we are committed to:

- Promoting equality, diversity, as well as an inclusive and supportive working environment
- Affirming the rights of the individual to be treated fairly and with respect
- Identifying, recognising and encouraging individual contributions to our success
- Our commitment applies to our own operations, our field of influence and our work with our clients

A brief description of our processes and systems

We put our commitment into practice by ensuring Maplecroft supports the elimination of discrimination, and by helping our clients support this through their own policies and actions. We do so using the following processes and systems:

In our own operations

Equal opportunities

- Equal Opportunities Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes the policy and gives detailed guidance as to how this policy is applied

Sexual and racial harassment

- Sexual and Racial Harassment Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes the policy, gives detailed guidance as to how this policy is applied and suggests informal and formal remedies where harassment is alleged to have taken place

Employees with disabilities

- Employment with Disabilities Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes the policy and gives detailed guidance as to how this policy is applied

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- In the last year, there was reduced training activity due to concerns about the impacts of the global economic situation. As a result, greater focus was placed on 'on the job' mentoring. It is estimated that at least 50 hours a week of mentoring activity takes place throughout Maplecroft each week
- Specific individuals within the company have benefited from training courses on health and safety, carbon accounting and GIS mapping
- Continued to address the challenge of discrimination through our human rights reports, indices and briefings, as well as other Global risks products

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement
- To include specific issues on the issue of discrimination in the proposed multiple choice employee survey (See under Principle 6 above)

Viewpoints of employees

"Maplecroft's working culture is not one in which discrimination could ever flourish - our team is diverse, global in outlook and results-orientated."

Julia Coym, Risk Analyst

Measurable results or outcomes

No formal complaints regarding company performance in this respect.

PRINCIPLES 7 & 8: Precautionary approach to environmental challenges & initiatives to promote environmental responsibility

Our commitment or policy

Maplecroft is committed to taking a precautionary approach with respect to environmental challenges, the undertaking of environmental initiatives and the use of environmentally friendly technologies. Our commitment to the environment includes continually improving our performance, preventing pollution wherever possible and complying with all applicable laws, regulations and industry standards.

In particular we:

- Manage our processes so as to avoid or minimise waste
- Work to minimise our use of energy
- Minimise unnecessary travelling to reduce the impact of aircraft and road vehicle emissions
- Include environmental considerations in investment decisions
- Ensure all employees have an awareness of this policy so that it is implemented effectively
- Our commitment applies to our own operations, our field of influence and our work with our clients

A brief description of our processes and systems

We translate our commitment into action by taking a precautionary approach to the environment, undertaking initiatives to promote greater environmental responsibility and by assisting clients to manage their own responsibilities in this respect. We do so using the following processes and systems:

In our own operations

- Environment Policy (as part of our overarching Corporate Responsibility Policy)
- Employee Handbook, which includes the policy

In our client services

- See 'In our client services' under Principle 1

Our actions over the last year

- Continued use of recycled paper only for office printing
- Continued operation of a company-wide recycling system for paper waste
- Continue use of environmentally friendly printing, IT and lighting technology on a replacement basis
- Implementation of carbon off-setting for business-related flights where the option is offered
- Implementation of company policy requiring minimal printing and– unless there are good and pressing reasons – printing of documents in black and white and on double-sided paper only
- Significant increases in the use of teleconferencing and remote presentation technologies (e.g. webex and webinar techniques) to help reduce business travel
- Selection (in collaboration with our IT supplier) of additional desktop PC's on the basis of their performance/energy efficiency in order to accommodate workforce expansion
- Implementation of a web server consolidation program, using high efficiency CPUs in our new server platform. This has allowed us to expand server speed and capacity, whilst also reducing the number of servers by a third and making significant energy savings per server
- Development with the International Post Corporation on a comprehensive and in-depth carbon accounting system and report analysing the respective impacts of traditional and electronic mail
- Planting, gardening and environmental improvement in the immediate environs of Maplecroft's offices, to the benefit of the both the company as well as local communities
- Investigation of the UK government's 'cycle to work' scheme to promote the tax-free purchase of bicycles amongst employees

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement
- Development of a company-wide Environmental Management System, including a clear policy framework, as well as more regular monitoring of Maplecroft's environmental performance
- More extensive use of remote presentation technologies to further reduce business travel
- Increased use of carbon-off-setting for business-related air travel
- Implementation of the of the 'cycle to work' scheme, pending the normalisation of economic conditions

Viewpoints of employees

"The growing use of 'webex' and 'webinar' technology – and the resulting reduction in business travel – has already demonstrated how an innovative, IT-focused approach can reduce our carbon footprint."

Ed Cole, Managing Director

Measurable results or outcomes

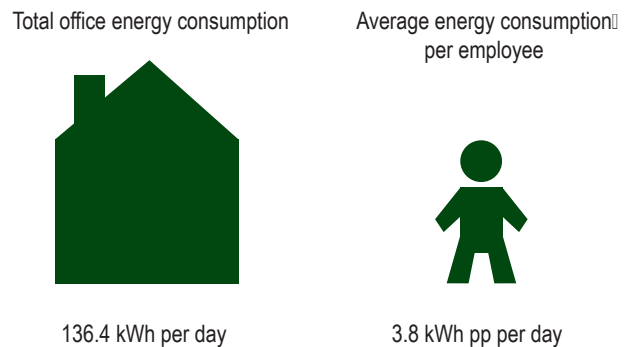
Energy use

Maplecroft is continuing to record its energy use in order to assess future improvements in consumption. Over the last year, our offices used an approximate average of 118.8 kWh per day of electricity and 17.2 kWh per day of gas¹. This compares to 80.0 kWh per day of electricity and 25.8 kWh per day of gas in the previous year, reflecting the considerable expansion of the company workforce.

This makes for total office energy consumption of 136.4 kWh per day and average energy consumption per employee of 3.8 kWh per day. This compares to 105.8 kWh per day and 3.8 kWh respectively in the previous year. The increase in total consumption is reflective of the considerable expansion of our workforce.

¹ This figure reflects consumption prior to the significant expansion of Maplecroft office space in July 2009. The impact of this expansion in office space will be reflected in next year's figures, which are expected to be significantly higher.

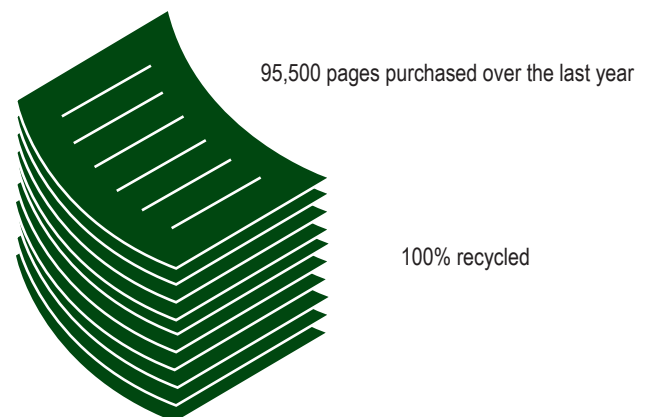
Figure 1: Total energy consumption



Paper use

Maplecroft is continuing to record its paper use in order to assess future improvements in consumption. Over the last year, the company purchased 95,500 pages of paper. Of this, 100 percent was recycled paper. This compares to 108,500 pages used in the previous year, 66.8 percent of which was made from recycled paper.

Figure 2: Total paper use



PRINCIPLE 9: Encourage environmentally-friendly technology

Our commitment or policy

See Principle 7.

A brief description of our processes and systems

Our role as an advisory business means we have the ability to influence the environmental performance of global organisations, by increasing their awareness, understanding and ability to manage environmental impacts. We aim to assist businesses in their move towards triple bottom line accounting and performance review/measurement to maximise value, profit and responsibility.

Maplecroft has developed a wide range of products and services that help improve our clients' environmental performance and contribution to development. A summary of these services can be found in the section entitled 'In our client services' in Principle 1 and on our website.

Our actions over the last year

- See Principle 7.

Our targets for next year

See Principle 7.

Viewpoints of employees

"There is ever-growing scope to improve our environmental performance through more efficient IT infrastructure and practices – ranging from more advanced, power-saving servers to simply turning off monitors at night. I am keen to ensure we pursue these improvements where possible."

Dan Davies, IT Systems Administrator

Measurable results or outcomes

Not applicable.



Research team meeting

PRINCIPLE 10: Work against corruption in all of its forms

Our commitment or policy

Maplecroft is committed to working transparently and is against corruption in all its forms, including extortion and bribery. No employee or associate will take or receive bribes of any form, or involve themselves in situations that may give rise to any potential conflicts of interest. Our commitment means that we will not only abide by all applicable laws in this respect, but will act in the spirit in which they were made.

Our commitment applies to our own operations, our field of influence and our work with our clients.

A brief description of our processes and systems

We put our commitment into practice by taking a transparent approach towards doing business, by opposing corruption in all its forms and by helping clients manage their own responsibilities in this respect. We do so using the following processes and systems:

In our own operations

Transparency Policy (as part of our overarching Corporate Responsibility Policy)

In our client services

See 'In our client services' under Principle 1

Our actions over the last year

- Continued to address the challenge of corruption through our Global Risks products, including country reports, the Global Risks Forecast publication and relevant indices

- Continued public provision of a free and online global corruption map based on the Transparency International Corruption Perceptions Index
- The appointment of a legally trained Associate Director as a business ethics 'champion' within Maplecroft to act as a central contact point for questions relating to conflicts of interest and proper business practice
- Active participation by Professor Warhurst in Board meetings of Transparency International (UK), as well as the provision of supporting materials from Maplecroft's Global Risks product range

Our targets for next year

- To continue the ongoing actions carried out last year and to build upon them through continuous improvement

Viewpoints of employees

"Given the business we are in, it is vital that we conduct ourselves with integrity. Anything less would undermine our continuing efforts to enhance the ability of our clients to promote and maintain strong business ethics – often in difficult operating environments."

Roger Cabrera, Associate Director

Measurable results or outcomes

No formal complaints regarding company performance in this respect.



Mark Allison, Software Developer



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Designed and produced by Maplecroft | Photography: William Graves