



United Nations
Global Compact

ARUP
Communication on Progress
2017

The Ten Principles of the United Nations Global Compact



United Nations
Global Compact



Human Rights

1. Businesses should support and respect the protection of internationally proclaimed human rights
2. Make sure that they are not complicit in human rights abuses



Labour

3. Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining
4. The elimination of all forms of forced and compulsory labour
5. The effective abolition of child labour
6. Business should uphold the elimination of discrimination in respect of employment and occupation



Environment

7. Businesses should support a precautionary approach to environmental challenges
8. Business should undertake initiatives to promote greater environmental responsibility
9. Business should encourage the development and diffusion of environmentally friendly technologies



Anti-corruption

10. Businesses should work against corruption in all its forms, including extortion and bribery

Arup Mission Statement

“To shape a better world”

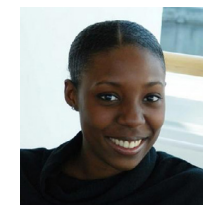
- To enhance prosperity and quality of life
- To deliver real value
- To have the freedom to be creative and learn

A better world is one that provides improved living conditions for its inhabitants while addressing fundamental environmental, social and economic concerns. Through our projects, we seek to create places where people are safer, healthier, enjoy greater amenity, are inspired by their environments and find new opportunity and prosperity. By creating sustainable and equitable environments, each and every one of us can positively influence the future of the communities where we live and work.

We are taking action on a global basis to advance the UNGC principles on human rights, labour, the environment and anti-corruption.

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Communication on Progress 2017

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CEO STATEMENT

Our connection with the Ten Principles of the United Nations Global Compact is why Arup remains a proud signatory and will continue to support and advance them. It's also why we see our annual Communication on Progress as a welcome opportunity to highlight our commitment to responsible and sustainable business in everything we do.



In 1970, our founder Ove Arup, provided us with an enduring set of values and aims which include: being a humane organisation; straight and honourable dealings; social usefulness, and maintaining good reputation and influence. These have become integral to our culture, our thinking and behaviours. As a result we attract people to join us who share these values.

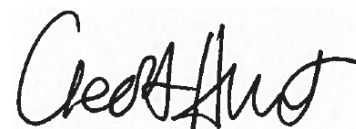
While these values have a strong resonance with the Principles set out in the UN Global Compact, our purpose is also “to shape a better world” through the work that we do.

Often this is through our projects where we apply sustainable design principles and encourage corporate social responsibility, but it also includes how we work and who we work with, for example:

- Arup engineer Clare Lavelle has been presented with the Karen Burt Award by the Women's Engineering Society (WES).
- Our living wall took centre stage at the Chelsea Flower Show held in the grounds of the Royal Hospital Chelsea in London, May 2017.
- Arup currently ranks 62nd in The Guardian UK 300: 2016/17.
- We secured two wins at the Better Society Awards: the Built Environment Award and the Pro Bono Company of the Year Award. These awards are recognition that ‘shaping a better world’ is something our clients value and recognise.
- In terms of our ‘measurable’ performance in diversity, we are reaping the rewards of some of our initiatives and seeing an ever diverse workforce. We have more female leaders than ever before. In the UK alone, this has grown from 13.4% in 2011 to 20.69% in March 2017, against a significantly lower industry average. We are aiming to improve our gender balance by reaching our target of 40 to 60% of each gender in our membership as soon as we responsibly can.
- Looking at our graduate intake for 2017, 48% are female, 23% are BAME and 4% chose not to disclose their ethnic background. We recruited 31 nationalities from 58 universities, and have taken on more apprentices than ever.
- Environmentalist, journalist and author George Monbiot delivered a talk in our London office as part of the ‘Travelling with vision’ programme – a series of talks by inspiring leaders on realising a vision led by our UKMEA Sustainability Network. The ‘Travelling with vision’ programme includes talks by Antarctic explorer, Tim Jarvis and Eden Project founder, Sir Tim Smit.
- We are pleased to announce that for the sixth consecutive year, Arup has been named in The Times Top 50 Employers for Women, formally recognising the firm as one of the top 50 companies in the UK that are leading the way in gender equality in the workplace.

We remain passionate about promoting the aims of the Global Compact, and to advancing corporate responsibility more widely within our global sphere of influence. We look forward to supporting the UN Global Compact in 2017 and beyond.

I hope you will read it with interest.

A handwritten signature in black ink, appearing to read 'Geoff Hunt'.

Geoff Hunt
Chief Operating Officer
Arup UKMEA



INTRODUCTION

We view our challenge as ‘Shaping a Better World’, and at the heart of this is a deep understanding of the issues driving the world’s growing urban environments – from the effects of climate change to meeting the needs of a growing population.

Arup is a global company and the creative force at the heart of many of the world’s most prominent projects in the built environment. We have:

- over 14,000 people worldwide
- offices in over 35 countries
- over 70 years experience
- projects completed in 170 countries
- over 13,000 fee earning project
- trust ownership

You can view our Annual Report 2016, which contains details of our income and profit, here: http://publications.arup.com/publications/a/annual_and_corporate_reports/annual_report_2016

Arup is owned in trust for the benefit of our employees, giving us all a genuine share in our success. An employee’s share allocation is based on their grade and length of service, with profit share paid twice a year in addition to salary.

Our independent ownership structure allows the needs of our clients, our commercial imperatives, and our conviction to influence all our decision-making, resulting in thoughtful contributions to society.

Many of Arup’s projects leave a legacy to subsequent generations: a legacy that outlasts any one individual. With over 13,000 projects at any one time, Arup is doing the best possible job for current and future generations. The power to influence the future of the built environment carries with it a weighty responsibility.

Putting sustainability at the heart of our work is one of the ways in which we exert a positive influence on the wider world. Put simply, Arup people are driven to find a better way.

Our accomplishments 2016-2017

Arup is awarded “Company of the Year” and “Collaborative Firm of the Year” at the NCE100 awards



Arup claimed the top spot in the NCE100 as a result of overwhelming endorsement from clients, peers and our staff. NCE100 is New Civil Engineers (NCE) independent, authoritative assessment of what it means to be an excellent civil engineering practice. Arup moved to the top spot after being ranked third in 2016.

In their coverage of our success NCE said; “*Arup stood clear of its rivals when it comes to collaboration, with more peers and clients participating in the NCE100 citing Arup as a company they enjoyed working with than anyone else.*”

And this clear satisfaction level extended to its staff, with 96% of those taking part in the NCE100 survey agreeing that Arup was “great” and that they had “no desire to work anywhere else.”

Arup also won the coveted Collaborative Firm of the Year award for a second year running. This recognises the firm most cited as one that other companies enjoyed working collaboratively with, or would like to work with by their reputation for exhibiting collaborative behaviours.

Arup were also shortlisted in three additional categories:

- **Best Place to Work:** recognise Arup’s continuing efforts to be a great place to work
- **Contribution to the Profession:** recognising Clare M Lavelle’s active engagement in campaigns promoting the industry
- **Low Carbon Leader:** for showcasing the value of PAS2080 in Irfat, Muscat

INTRODUCTION CONT'D

One of biggest winners at the MCA awards, UK

We won four project awards, including the first ever accolade for Consulting Excellence, and two highly commended individuals at the recent Management Consultancies Association (MCA) awards in London:



- **Consulting Excellence – Ethical Behaviour Award** in recognition of our distinct culture and commitment to integrating ethical considerations into all aspects of projects, design and business decisions.
- **The Finance and Risk Management Award** for our development of a resilience framework with Welsh Water.
- **The People Award** for our Emerging Leaders Programme with the NHS East Midlands Leadership Academy.
- **The Performance Improvement in the Public Sector Award** for the London Overground Capacity Improvement Programme with Transport for London.
- **Digital Consultant of the Year** - Maria Kordoni (London) for her work with Heathrow to migrate all their baggage systems ready for the third runway.
- **Strategy Consultant of the Year** - Josef Hargrave (London) for delivering the strategy for the management of future trends and implementation of strategic initiatives that will enable his client, a leading urban mass transit operator in East Asia, to actively manage future risks and opportunities.

Jerome Frost, Consulting Leader UKMEA, said: *“These awards recognise the varied and extensive expertise we are able to offer our clients. Our strength is being able to integrate all of this knowledge to focus on helping our clients realise their greatest opportunities or overcome their greatest challenges.”*

National Apprenticeship Awards 2016, London

Arup was a Highly Commended finalist at the London National Apprenticeship Awards 2016. The Awards, now in its thirteenth year, are run by the National Apprenticeship Service and recognise excellence in two areas:

- businesses that grow their own talent with apprentices; and
- apprentices who have made a significant contribution to their workplaces.



Clare Lavelle wins the Women's Engineering Society's Karen Burt Award

Arup engineer Clare Lavelle has been presented with the Karen Burt Award by the Women's Engineering Society (WES).

Clare was interviewed on BBC Radio 4's Woman's Hour on Friday 18 November 2016. You can download the podcast here: <http://www.bbc.co.uk/programmes/b007qlvb>.

The Karen Burt Memorial Award is the Society's most prestigious accolade as it recognises professional excellence and contributions made by the recipient to promote the engineering profession to young women. It is awarded each year to the best newly qualified woman Chartered Engineer.

Our living wall takes centre stage at RHS Chelsea Flower Show, UK

Our living wall took centre stage at the Chelsea Flower Show, held in the grounds of the Royal Hospital Chelsea in London, May 2017.

The garden demonstrates how nature can be designed into dense urban developments leading to benefits including improved ecology, climate resilience and psychological wellbeing, as

documented in our report: Cities Alive: Rethinking green infrastructure. The 'Living Wall' temporary system has also been installed on site hoardings in London's Mayfair for the developer Grosvenor. The wall attracted significant interest amongst visitors and media alike, and also won the Built Environment Award at the Better Society Awards Gala in May 2017.



Living Wall Lite, Mayfair © Paul Carstairs/Arup

Arup Ranked Number One In Technical Advisor League Table

We have been ranked number one by market share in IJGlobal's latest quarterly league table of technical advisors. For the second quarter of 2017, we secured a market share of 25.4%. IJGlobal is the leading infrastructure deal analysis and news outlet and provides the largest database in the industry. This strong lead on the league tables puts us in a good position to keep achieving top rankings. The success is a continuation from last year when we received the Technical Advisor of the Year for Europe and Africa IJ award, as well as two InfraNews awards for Global Technical Advisor – deal count and deal value.



“...our lives are inextricably mixed up with those of our fellow human beings, and that there can be no real happiness in isolation...”

Sir Ove Arup, November 1970

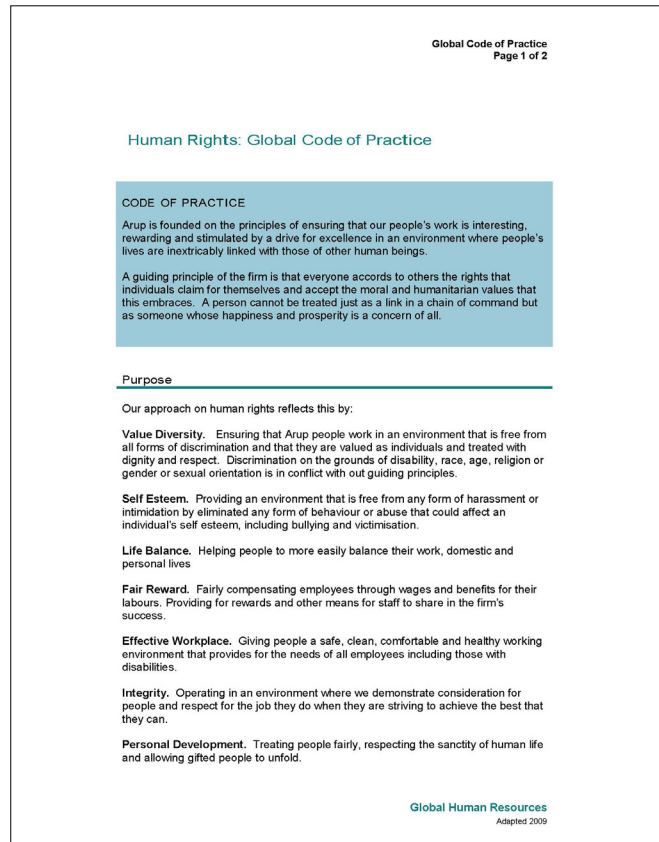


Founder Sir Ove Arup

 Arup supports and respects the protection of internationally proclaimed human rights, such as United Nations Universal Declaration of Human Rights, and ensures that it is not complicit in human rights abuses.

Our Commitment

Our founder, Sir Ove Arup, believed that our work should be both sensitive to the environment and also have a social purpose. His early commitment to the principles of sustainability continues to influence us today, not only in the way we conduct our business, but in how we treat our people and the way in which we interact with our communities and society at large.



We have a written Global Human Rights Code of Practice, which states that:

- Arup is founded on the principles of ensuring that our people's work is interesting, rewarding and stimulated by a drive for excellence in an environment where people's lives are inextricably linked with those of other human beings.
- A guiding principle of the firm is that everyone accords to others the rights that individuals claim for themselves and accept the moral and humanitarian values that this embraces. A person cannot be treated just as a link in a chain of command but as someone whose happiness and prosperity is a concern of all.

Our approach to human rights covers the following areas:

- Diversity
- Self esteem
- Life balance
- Fair reward
- Effective workplace
- Integrity
- Personal development
- Acting honourably
- Social responsibility
- Respect

Our Approach

Key Speech



Sir Ove Arup

A speech written and delivered by our founder Sir Ove Arup in 1970, that defines who we are, and sets out our core values and guiding principles. The Key Speech is the high-level framework that guides appropriate behaviour within the firm. The speech sets out the firm's humanitarian attitude which "leads to the creation of an organisation which is human and friendly in spite of being large and efficient...this attitude also dictates that we should act honourably in our dealings with our own and other people. Humanitarianism also implies a social conscience, a wish to do socially useful work, and to join hands with others fighting for the same values."

All employees receive a copy of the key speech as part of their induction. You can view the Key Speech here: <https://www.arup.com/en/publications/Speeches-and-Lectures/Section/Ove-Arups-Key-Speech>

Global Human Rights Code of Practice

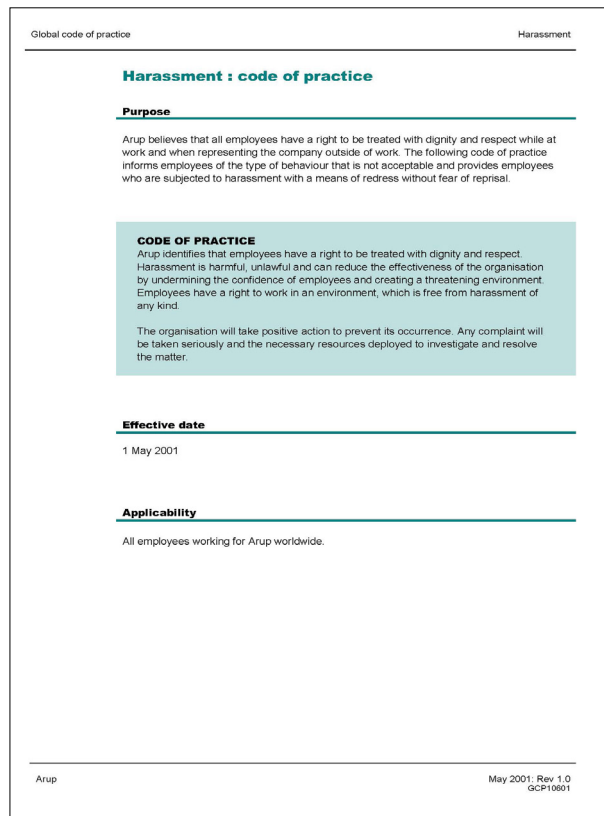
Arup's written Global Human Rights Code of Practice sets out the firm's expectation and approach on human rights. It is available to all staff via the company intranet. Please see attachment 1.

Global Harassment Code of Practice

Arup believes that all employees have a right to be treated with dignity and respect while at work and when representing the company outside work. The Global Harassment Code of Practice informs employees of the type of behaviour that is not acceptable and provides employees who are subjected to harassment with a means of redress without fear of reprisal. We also have a local Harassment and Bullying UK Policy which describes unacceptable conduct and provides additional guidance on resolving any incidents. Please see attachment 2.

Global Health & Safety Policy

Arup promotes the health and safety at work of all employees including temporary and contract staff, and of other persons affected by our actions. The firm has set objectives to provide health and safety training, specialist advice, information instruction and supervision, as may be necessary, to personnel at all levels. The firm operates within a management system that is registered as meeting the requirements of OHSAS 18001 or equivalent. You can view a copy of our Health and Safety policy in attachment 3.



Page taken from our Global Harassment Code of Practice

Disciplinary Procedure

The disciplinary procedure is designed to be supportive and to encourage improvements in individual conduct and performance. Disciplinary action follows for individuals who abuse Arup's policies and procedures, including the Global Human Rights Code of Practice, and for any *"actions which undermine working relationships with colleagues and/or other organisations, or which may compromise our integrity as a firm and our honourable dealings with people."*

Sustainable Procurement

Arup's commitment to Human Rights in its procurement is managed through the sustainable procurement plan which feeds into Arup's sustainability strategies. The plan is built on six themes which are:

1. Environmental management
2. Supplier equality and diversity
3. Support of fair practices in our supply base
4. Ethical trading
5. Promoting fair employment practices
6. Community benefits

Each supplier's sustainability ethos is a key feature within Arup's tendering process to select responsible suppliers. Furthermore, Arup works to engage its suppliers in working together to deliver improved sustainability performance.

We embed all aspects of our sustainable procurement vision, and category specific deliverables into our request for proposal (RfP) processes. In 2015, Arup tendered our contract for supply of photocopier/printers. The delivery of improved energy consumption technology to prevent wasted prints and unnecessary colour prints was integral to the schedule of requirements.

Power consumption changes are helping to reduce power usage by half compared with the old fleet, and environmentally sustainable waste management ensures Arup remains committed to its environmental values.

We have also revised our cleaning and catering provision to reflect our commitment to the Living Wage (across the UK).

Activities and Implementation

Communication of Policies and Procedures

All employees are made aware of our strategies, policies and procedures with respect to human rights, equal opportunities, diversity and inclusion, sustainability, performance, and harassment. These are also made available to all staff via our intranet and our human resources team.

As a humane organisation we aim for zero incidents of harassment, bullying and grievance. In the event of a breach of our policies or a reason for grievance, we provide guidance for informal and formal resolution in our Local Harassment and Bullying UK Policy. This also identifies the roles and responsibilities of our managers, our human resources team, and our staff. Please see attachment 2.

Guidance for staff on how to resolve human rights issues is provided within our Arup Management System (AMS) policies and procedures, and from our human resources team. The AMS is compliant with ISO 9001:2008, OHSAS 18001:2007 and ISO 14001: 2004.

Training and Support

We provide training in Health and Safety, sustainability, and diversity and unconscious bias awareness for leaders and recruiters. In May 2009, we created our Inclusive Leadership Programme. The aim was to give leaders the skills and knowledge to recognise that everyone has unconscious bias, and to understand how to manage that bias.

1.03 hours of sustainability training were received per employee between 1st April 2016 to 31st March 2017, which is an improvement on last year's figure of 0.8 hours per employee.

Our employee support includes networks, forums mentoring and events for female and LGBT staff, as well as staff from minority groups, all religions and cultures.

Sustainable Procurement

The sustainable procurement plan contains specific categories of goods and services that are defined as priority areas through a sustainability risk assessment incorporating these themes. These priority areas are then managed through individual category plans developed to solely focus on improving the sustainable procurement of the goods and services. The category plans are used to embed our sustainability requirements in our processes for supplier selection, goods/services specifications, contracts and contract management. Sustainable procurement implementation varies depending on the particular features of the goods and/or services purchased within each category.

The National Equality Standard



In March 2016, Arup signed up to the National Equality Standard (NES). This was a key action from the UKMEA D&I strategy so that we could measure ourselves against this nationally recognised benchmark.

The NES is a best practice framework designed to assess an organisation's proficiency against all areas of diversity as defined by the UK's Equality Act 2010. Since March 2016, we have worked with the NES assessors to review Arup's policies and practices against the 7 Standards and 49 competencies contained within the NES framework. The assessment was undertaken in two key stages: a documentary review of evidence and on-site interviews with employees and leadership to supplement and validate the documentary evidence.

With the assessment now complete, a report was issued in February 2017. The report highlights a number of key strengths, including our founder Sir Ove Arup's Key Speech, the Diversity & Inclusion (D&I) Strategy and our external engagement on diversity, amongst others. It also identified good practices against each of the protected characteristics (as defined in the Equality Act).

However, we did not meet the minimum requirement of five fully met competencies for each of the seven standards. This means that we did not achieve certification this time but we have recognised progress in a number of areas.

We currently have actions in place for further development in the areas we need to improve upon in order to gain NES certification. These include:

- A new structure for the D&I team;
- better communication (including from leadership); and
- more targeted and specific training.

Outcomes and Progress

'Leader in workplace gender equality', Australia

Arup have been recognised by the Workplace Gender Equality Agency (WGEA) in Australia for our commitment and best practice in promoting gender equality in the workplace. The WGEA 'Employer of Choice for Gender Equality' citation is designed to encourage, recognise and promote active commitment to achieving gender equality in Australian workplaces.

Criteria for the citation included leadership, gender remuneration gaps, flexible working and other initiatives to support family responsibilities, employee consultation, amongst others.

Our People

We confirm that in the last three years we have not been the subject of a formal investigation by the Equality and Human Rights Commission or an equivalent body, on the grounds of unlawful discrimination, and no findings have been made against us.

Health and Safety

Our Global Sustainability Strategy defines measures of success which includes the health and safety of our staff (e.g. lost time accidents).

- Lost time accidents for 2016-2017: 0.05 per 100,000 employee hours
- Accident Incident Rate for 2016-2017: 0 per 1000 employees
- Accident Frequency Rate for 2016-2017: 0.01 per 100,000 employee hours
- We have provided Asbestos Awareness training in the UK to 386 people in the last year
- We have a pro-active UKMEA Health & Safety Committee which meets every three months with 21 representatives from across the region and business groups

Arup is registered with the following construction industry Health and Safety Accreditation schemes and safety groups:

- Avetta (No: 69886)
- BuildingConfidence (No: 4900538)
- CHAS (No: n/a)
- LRQA SSIP (No: 10013607)
- RISQS (No: 060548)
- SMAS (No: 57396)
- UVDB Verify (No: 060548)
- CHSG (Construction Health & Safety Group)
- ROSPA (Royal Society for the Prevention of Accidents), Membership No. M403110773
- Consultants Health and Safety Forum

Sustainable Procurement

Examples of our activities include:

- Working with our catering supplier to source and purchase fair trade and rain forest alliance certified products such as coffee, tea, sugar and bananas, and verifying the authenticity of the stated certification.
- Ensuring the application of the London Living Wage for contracts with our suppliers of on-site services such as catering, cleaning, security and reception.
- Ensuring all disposable packaging is biodegradable and/or recyclable.
- Reviewing our supply base to ensure that there are no and will be no anti-competitive instances.



We work to ensure that everyone feels that their contribution is valued and their successes are celebrated through our process and through our training and development, which encourages knowledge sharing, intellectual growth and stimulation.

Our Commitment

We are committed to the International Labour Organisation's (ILO) fundamental principles and rights at work including:

- freedom of association and the effective recognition of the right to collective bargaining;
- the elimination of all forms of forced or compulsory labour;
- the effective abolition of child labour; and
- the elimination of discrimination in respect of employment and occupation.

Subject to the relevant laws in the countries where we operate, we fully respect the right of our people to freedom of association and representation.

We aim to ensure that our people have satisfactory wages and working conditions, and that there is no exploitation of labour.

We do not employ individuals that are younger than the legal school leaving age.

We ensure that Arup people work in an environment that is free from all forms of discrimination - gender, race, origin, background, religion, marital status, sexual orientation, disability or age, and that they are valued as individuals and treated with dignity and respect.

Addressing gender imbalance in Arup is our priority in a wider diversity drive. We believe improving gender balance will help us to nurture creativity and innovation, tap hidden capacity for growth and improved competitiveness, and positively impact financial performance. The proportion of women employees at all grades, and the number of women in management positions has continued to rise annually since we commenced measurements in 2008.

Our Approach

Key Speech

One of the six core principles is a “humane organisation” which should result in satisfied members. All employees receive a copy of the Key Speech as part of their induction: <https://www.arup.com/en/publications/Speeches-and-Lectures/Section/Ove-Arups-Key-Speech>

Ove Arup also said “If we can reach a stage where each man or woman is respected for the job they do, and is doing his or her best because the atmosphere is right, because they are proud of what we are and do and share in the general enthusiasm, then we are home.”

Freedom of Association and Representation

Arup's terms and conditions are not governed by a collective agreement.

Arup is a 14,000 strong employee owned organisation. In 1977, our founder, Sir Ove Arup, gifted the firm to itself, creating a visionary arrangement based on trusts, which are responsible for the long-term custodianship of the firm for the benefit of past, present and future employees. Membership of the trusts includes past and present employees. As a self-owning organisation, we have no external shareholders, which is fundamental to the way we are organised and how we operate.

We have developed peer communications channels and we have effective formal ('Airtime') and informal channels between management and staff.

UKMEA Regional Diversity & Inclusion Strategy 2015-2017

Arup has a global commitment to being an 'employer of choice' manifested in our Global Diversity Policy, Action Plan and

associated training. Diversity is championed at Group Board level by Geoff Hunt and Region Chair Dervilla Mitchell who are supported by Diversity and Inclusion Programme Manager Vicky Evans. Our vision is “to create a work environment based on fairness, respect and merit which embraces difference and enables talented people to flourish.” Our UKMEA region 2015-2017 Diversity Strategy was formulated to deliver this vision, and is based on seven key principles which will shape our activities going forward. Please see attachment 4.

Equal Opportunities Procedure

Global and regional equal opportunities procedures exist to ensure that employment practices are applied fairly and equally. These procedures cover: recruitment, training, career development and promotion, pay, selection for redundancy, grievance and monitoring. Every member of Arup has a responsibility to uphold our equal opportunities codes of practice in order to ensure that everyone with whom we work is treated equally and honourably. The leaders have a particular responsibility to ensure that grievances are investigated, that confidentiality is maintained and that appropriate action is taken. All senior leaders are trained in the legal obligations surrounding equal opportunities and we have an inclusive leadership programme to equip leaders to act as role models and challenge the status quo.

Conduct, Performance and Disciplinary Procedure

Our global Conduct and Performance Code of Practice provides guidance on the standards expected from all our members. The firm takes its commitment to equal opportunities very seriously. Any acts of discrimination by its members will result in disciplinary action, including termination of employment if appropriate, in accordance with the firm's disciplinary procedures. please see attachment 5 for our global Conduct and Performance Code of Practice.

Harassment Procedure

Global and local harassment procedures are in place. Any complaint of harassment is taken seriously and the necessary resources deployed to investigate, resolve the matter and take appropriate action. Please see attachment 2.

Grievance Code of Practice

Arup believes that all its members should have the opportunity to discuss any matter of concern with the person to whom they report. In most cases employment related matters are likely to be resolved informally in this way. If, however, the outcome of informal discussions is unsatisfactory then the issue can be addressed through the grievance procedure. For a copy of our global Grievance Code of Practice please see attachment 6.

Diversity and Inclusion: Code of Practice and UKMEA Diversity Strategy

Arup's Global Diversity and Inclusion Code of Practice sets out our aim to *"recognise and respect each others' differences and strive to build a working environment where our different values and perspectives are actively harnessed to create the best solutions for our equally diverse client base"*. Our Diversity Strategy is built into our operating budget, and discussed at every Board meeting. The diversity and inclusiveness of our workforce is supported by our ethics on sustainability and human rights. Arup's principles of diversity and inclusion extend to our clients, our suppliers and all those with whom we choose to work. Our UKMEA region 2015-2017 diversity strategy sets measurable diversity improvement actions for this period which are described overleaf. Please see attachment 7 for our Global Diversity and Inclusion Code of Practice.

Young and Early Career Staff

There are special UK laws to protect the employment rights of young workers (aged 16 to 18) which Arup adheres to. These concern health and safety, what jobs they can do, when they can

work, and how many hours they work. Arup does not employ young people under the age of 16, in line with legislation.

The Early Career Group was formed in 2012 by the UKMEA Board. It offers a forum to discuss issues and share best practice internally, and promote collaboration both in Arup and externally for early career staff. It captures and acknowledges the ideas, opinions and concerns of those at the early stage of their careers for betterment of the firm, to make a difference from the bottom-up.

Graduate and Apprentice welcome events 2016

In September 2016, Arup welcomed new graduates and apprentices into the UKMEA Region at two separate events. This year, 256 graduates joined Arup in UK offices, with eight joining in South Africa and Mauritius and two in the Gulf. We also had our highest intake of apprentices since we started apprenticeship programmes 30 years ago, with 51 joining the firm this year.

We have set up a dedicated apprentice area on our intranet, which includes presentations and tips from previous apprentices. We have also set up an apprentice forum, an internal network where apprentices can discuss issues, and exchange ideas and news.

Flexible Benefits

To retain the best staff we offer a strong remuneration and benefits package with competitive salaries, profit share payments and a flexible benefits fund to spend on the benefits that suit individuals' requirements. Some of the benefits are: 25 days holiday plus public holidays; interest free travel season ticket loan or bicycle loan; free eye-tests; private medical insurance and life and accident insurance. The flexible benefits fund can be used to buy benefits that suit each employee, or can be taken as cash on top of their salary. Our occupational health service is an important part of our integrated health programme and helps us to minimise health risks at work and ensure fast, effective

help with any health problems that affect staff well-being. These services are designed to provide a more comprehensive, responsive and integrated proposition which will help us to deliver on our new occupational healthcare vision.

Arup was shortlisted for the Employee Benefits Awards 2015 in four categories: 'Benefits team of the year', 'Best alignment of benefits to business strategy' (for our UK benefits review: We Shape a Better World), 'Best flexible benefits plan' for our UK flexible benefits scheme, and 'Best healthcare and wellbeing benefits' for our UK health and wellbeing programme.

Flexible Working

We offer enhanced maternity and flexible working benefits above the statutory requirements. We have a flexible working policy that encourages anyone wishing to work flexibly to make a request to their line manager and find a solution that works for them. In 2015, we introduced a new shared parental leave policy, recognising the importance of supporting working parents in balancing their home and working life. An enhanced shared parental leave pay, in addition to the statutory pay provisions, allows staff the opportunity to plan and manage the care of children in a way that suits their family circumstances.

Activities and Implementation

Global Sustainability Strategy

We report our global performance publicly in our Annual Report, UKMEA Sustainability Report, and Global Sustainability Report.

Whilst our biggest contribution to a sustainable future comes through our client work, we recognise that it's as important for us to monitor our own performance and actions. This focus on 'walking the talk' is critical if we expect our clients to believe in our ability to build sustainable principles into their projects.

To achieve this ambition, we have established a framework of key performance indicators that measure our annual progress against pre-set targets. Our UKMEA region data covers performance from 1 April 2016 to 31 March 2017, in our 26 buildings across the UK, Middle East and Africa.

Energy, water, waste, paper and carbon figures exclude our Africa offices where data collection remains challenging; for example:

Energy use

- 5% increase per employee
- 10% increase overall

Paper use

- 2% reduction copier and printer paper per employee

Carbon emissions

- 18% reduction per employee
- 8% reduction overall
- Figures remain the same as last year

Water use

- 3% decrease per employee

Management systems

- 100% offices certified to ISO 14001 Environmental Management System
- 25% of projects over £150k report specific sustainability objectives

Sustainability training

- 1.3 hours of training received per employee

UKMEA Regional Diversity and Inclusion Strategy 2015-2017

All of us want to feel valued and for this, you need to be treated with dignity and respect. And yet we know this doesn't always happen. Sometimes barriers exist which prevent everyone from being treated equally. Our diversity and inclusion strategy 2015/17 aims to address this, and our approach is based on the concept that people should be valued as individuals for reasons related to their business interests, as well as for moral and social reasons. In short, it is the right thing to do.

It is based on seven key principles, with associated measures, agreed by the UKMEA Board. These shape our activities and lead to actions undertaken across UKMEA. These are:

1. Informed and measured
2. Flexible
3. Connected and engaged
4. Balanced
5. Transparent and accountable
6. Industry leading inclusive recruiter and employer
7. No nonsense communication

You can read more about exactly what each area is and how progress will be measured either in the full document, which also includes detail around the business case for diversity and inclusivity, or in the overview document which gives you a brief outline of the plans. These can be found in attachment 4.

Communication of Policies and Procedures

All employees are made aware of our strategies, policies and procedures with respect to equal opportunities, diversity and inclusion, sustainability, performance, and harassment. These are also made available to all staff via our intranet and our human resources team.

In the event of a breach of our policies or a reason for complaint or grievance, we provide guidance for informal and formal resolution in our local Harassment and Bullying UK Policy. This also identifies the roles and responsibilities of our managers, our human resources team, and our staff.

Airtime

We have in place 'Airtime' a UK forum for staff communication and consultation. Airtime encourages us to influence our internal world, and enables us to work together to provide an environment which addresses our personal and professional aspirations.

Airtime meetings are held twice yearly as a forum for elected staff representatives to discuss internal changes. A record of each meeting is issued to all staff in the form of an Airtime Broadcast. The broadcasts are intended to engage staff and show them what issues are being considered. Staff can raise any concerns or issues they have with their elected regional representative. A regular (every other month) Airtime broadcast to UK staff helps to keep staff engaged with the Airtime team and feedback loop.

Airtime has a number of key principles:

- Enable leadership and elected staff representatives to exchange information and consult on possible changes and draft policies of significance.
- Enable ideas to be harvested from the body of the firm through the staff representatives for the leadership to consider in making decisions on issues that significantly affect our professional lives.
- Improve the flow of information between all members of staff.

Training and Support

We provide in house training via a full and varied programme of courses, with information available to all staff on our employee intranet. Specific individual training needs are identified as part of employees' annual appraisals, and then included in their development plans. In addition, our graduates and apprentices participate in formal training programmes to achieve professional qualifications. Courses include: technical skills, diversity awareness training such as 'Inclusive Leaders and Leadership' and Gender Bias Awareness Training for recruiters. Mentoring and guidance is available for all staff. Within the UKMEA region, 9.1% of management staff (grades 7 to 9) have completed diversity training.

Female Leaders

Within the UKMEA region, Arup has 32.53% female employees as of March 2017, of which 19.88% of management positions (grades 7-to-9) are occupied by females. This is an increase from last year's figure of 19.00%, and we are working towards increasing these numbers exponentially over the coming years.

Women on the UKMEA Board of Directors

Out of 17 UKMEA board members, we currently have three who are female, and one woman serving as an officer. We continue to strive for greater equality and diversity throughout our business and believe that our 2015-2017 Diversity and Inclusion Strategy will help us to achieve this.

Number of women employed at all grades

The percentage of female staff as of March 2017 is 32.53% which is marginally higher than 32% in 2016. We expect this number to increase throughout the year, once the 2017 figures have been audited

Connect Women



support our aim of improving opportunities for women within our industry.

Connect Women is our internal network, set up in 2009, for improving the opportunities for women in Arup, to enable them to maximise their valued contribution to the firm, our clients and our industry. The Connect Women Network is open to all Arup employees (regardless of profession, position or sex) who

On the March 8 2017, Connect Women hosted an event in the London office to celebrate International Women's Day. In opening the event, Greg Hodkinson (Group Board Chairman) spoke about the goal of having real gender balance in Arup and within our leadership (Grades 7 to 9), defining balance as not less than 40% of either men or women.

The event, in the format of 'Question Time', was attended by 110 people, and the panellists answered the questions from the point of view of a fictitious political party in order to present a wider range of views, and inject some humour.

Caroline Thomas, Associate Director based in Manchester was appointed as the new Chair of Connect Women in April 2017.



Greg Hodkinson (Group Board Chairman) speaking at an event to mark International Women's Day 2017

Connect Out


 The logo for Connect Out, featuring the word "connect" in a dark purple serif font and "out" in a pink sans-serif font, with a small pink heart above the "t".

Connect Out is the firm's lesbian, gay, bisexual and transgender (LGBT) network and forum, set up in 2011, and is open to all employees (regardless of profession, position or sex). Connect Out advocates a work environment that respects, welcomes and supports LGBT professionals, and empowers them

to perform to their fullest potential and contribute to the greater goals of the firm.

UKMEA region celebrated its first ever Pride Week in the lead up to the Pride in London Parade. Connect Out ran Pride Week from Monday 3rd to Friday 7th July with their focus on the importance of Pride and how we can support our LGBT+ colleagues at work.

On Saturday 8th July, we participated in the Pride in London Parade as a part of the Building Equality group, a collaboration of the engineering and construction companies which are working to support LGBT+ diversity and inclusion in the workplace. We marched alongside more than 300 staff from other engineering, construction and consultancy firms.



Connect Cultures



Our panellists for the Let's Talk about Race event held in London, November 2016

Set up in 2013, this network aims to celebrate and promote the benefits of cultural, ethnic and religious diversity in our workplace and foster an inclusive and equal opportunity work environment that respects our individual differences and the value they can bring to the firm.

Connect Cultures held their first panel-led discussion in the series 'Let's Talk about Race'. This discussion responded to the question 'What is the value to an organisation from Black, Asian and Minority Ethnic diversity?'

The aim was to consider how organisations within the UK are affected by lack of diversity and inclusion, and asked how Arup can respond to become the prominent engineering and consulting organisation in which diversity is celebrated, leading to the most satisfied employees and clients.

The event was held in London in November 2016, with approximately 110 attendees including numerous Arup leaders and guests from organisations like Network Rail, The Royal Academy of Engineering and Thomson Reuters.

The discussion was presided by Diane Greenridge, and our panel comprised of

- **Sir Keith Ajegbo** - Educational consultant, advisor on Leadership Development and vice chair trustee for the Stephen Lawrence Trust;
- **Ben Castel** - EY Partner and Sponsoring Partner of EY Black Network;
- **Audrey Campbell** - Head of D&I at Babcock International;
- **Ibrahim Rasheed** - Highways England HR directorate; and
- **Chi Onwurah** - Labour MP and Shadow Minister for Culture and Digital Economy (also joined the networking event afterwards).

They gave insights into their own experiences and thoughts on how we can improve BAME diversity within the UK engineering and consulting sector. Issues discussed included approaches to removing barriers, being inclusive, ensuring that BAME individuals share the same opportunities for career progression and challenging the concept of a business case being required to achieve BAME diversity.

Young Engineers, Apprentices and Graduates

Our graduate induction was held at Warwick University and incorporated both the Induction and Skills Week programme into one, week-long event. Hosting the event in one location meant Arup was able to effectively bring six discipline-specific skills weeks together in one venue, helping to provide greater networking opportunities for the graduates during the day and in the evenings.

Arup graduates are given responsibility on exciting projects from day one, with continued encouragement and support needed to deliver quality work. Whilst a designed programme is important, we also encourage our graduates to choose their own career path and direction within Arup.

The Arup apprentice induction was held at the Mercure Hotel in Manchester, and our 51 apprentices enjoyed three days of talks, group activities and technical workshops. After the initial induction, apprentices joined their new teams and began working on live projects immediately.

One of our new apprentices, Amelia Flood, commented: *"As a 16 year old I had no idea what to expect from the Arup Apprentice Induction. I feel I really benefitted from networking with other apprentices across the UK and making new friends. I learnt how to present myself professionally in the workplace whilst also learning from key members within the company. I thoroughly enjoyed the experience."*

Apprentices have the opportunity to work on a huge variety of projects and provide a vital contribution to the firm. In its current form, the apprenticeship scheme offers a formal and structured course with real opportunities for long-term career development.

Although apprentices are mainly office based, they also have the opportunity to go on site to see projects being built first hand. Each apprentice is also mentored by an engineer and/or technician who works with them on a daily basis.

Outcomes and Progress

Clare Lavelle wins the Women's Engineering Society's Karen Burt Award

Arup engineer Clare Lavelle has been presented with the Karen Burt Award by the Women's Engineering Society (WES). Launched on 3 November 1998, the Karen Burt Award was founded in memory of Dr Karen Burt, a campaigner for the recruitment and retention of women in science and engineering. The Karen Burt Memorial Award is the Society's most prestigious accolade as it recognises professional excellence and contributions made by the recipient to promote the engineering profession to young women. It is awarded each year to the best newly qualified woman Chartered Engineer.

During her career, Clare has successfully delivered a number of technically challenging major projects in the energy sector including the development of the world's first commercial wave farms at the European Marine Energy Centre in Orkney and the development of Hammerfest Storm tidal technology. Clare has also helped over 2.5 GW of offshore wind projects in UK waters to successfully achieve planning consent.

In Clare's current role as Arup's Energy Consulting Business Leader in Scotland and the North East, she manages a team of consultants delivering technical commissions in the energy sector in offshore wind, wave, tidal, oil and gas decommissioning, and carbon capture and storage among others.

Clare comments: *"It is a privilege to represent WES, who do such important work in improving the profile of women in the engineering industry. I'm glad to be able to contribute to these efforts to make the industry more accessible as I believe that greater gender balance is key to our profession being able to play an even greater role in society. From helping getting wave farms off the ground, to looking at capturing and storing CO₂ – engineering has provided me with a challenging career and the opportunity to work on some incredible projects. I am excited about my future career and where engineering will take me."*

Recognition for UKMEA's Arup University in LRQA audit

Arup UK was recently re-certified by Lloyd's Register for Quality Assurance (LRQA) including standards ISO 9001, environmental standard ISO14001, and OHSAS 18001.



The auditor from Lloyd's was very impressed with UKMEA Arup University, and we are delighted that the following text extracted from the report reflects that:

"The scope of the Arup University function and the effectiveness of its process were discussed. Arup University was seen to be a key component of the organisation's strategy to be forward looking, to be innovative and to maintain and disseminate knowledge."

The tools and structure in place to facilitate and sponsor research, share information and expertise and promote learning across the organisation were seen to be very effective. The function's objectives were seen to be well defined and performance measurements are in place and monitored at board level."

The Skills Network teams were seen to be key contributors to the success of Arup University and its purpose. The activities performed by the Skills network were sampled and it was found that these are well planned taking into account the objectives to be achieved in terms of research, knowledge development and dissemination and development of internal capabilities."

The monitoring of progress against these plans was seen to be consistently carried out and budgets managed to ensure key areas of development are sufficiently funded."

Those involved with the Arup university and Skills Networks were seen to be passionate about improving the organisations capabilities and positioning the origination in the forefront of the engineering consultancy industry."



Living Wage

Arup is a Living Wage employer, and was one of the first 1,000 employers to become fully accredited. This is consistent with our commitment to provide 'reasonable prosperity' to all our employees, which one of the goals identified in our founder's Key Speech. That means we pay all our permanent employees above the relevant London or National Living Wage threshold, and we have an action plan in place to ensure our contractors are also paid a living wage.



We are taking steps to minimise carbon emissions associated with our projects and operations, and endeavour to prevent pollution within the scope of our activities.

Our Commitment

Sustainability is fundamental to our thinking at Arup, helping us to deliver on our mission to ‘shape a better world.’ Our offices are the second biggest contributor to Arup’s carbon footprint, after travel. We are committed to taking a resource efficient, sustainable approach to the way we run our offices.

Responsibility for sustainability, at UKMEA Regional Board level, is held by Ian Rogers (Director). Our Foresight and Innovation team is dedicated to managing the firm’s global innovation programme, gathering and evaluating emerging technologies, including green technologies, and sharing these experiences with Arup offices and our clients around the world. Every year we invest a percentage of our profits to fund this research.

As a firm of consultants, the biggest impact we can have on the environment is through our work for our clients. We try to embed sustainability in everything that we do - in the way we run our business, our projects, and our physical impacts on the external environment. We help our clients to face the challenges of sustainability by investing in our passion for turning ideas into tangible tools and methodologies.

We extend our influence at every level, from individual buildings and large portfolio owners to cities and governments. Through our many partnerships and committee memberships we disseminate best practice sustainable design. We strive to deliver better solutions for our clients and create a lasting and positive legacy for future generations.

Our Approach

Key Speech

Sir Ove Arup established the firm over 60 years ago with the principles of ‘total design’ - the integration of the design process and the interdependence of all the professions. He also championed the social value of innovation and the humanitarian purpose of good design. Today we understand this as a commitment to sustainability. You can view the Key Speech here: <https://www.arup.com/en/publications/Speeches-and-Lectures/Section/Ove-Arups-Key-Speech>

Sustainability Policy Statement

Arup’s Sustainability Policy states that the firm will implement practices that promote economic security, social betterment and environmental stewardship and will strive for continuous improvement of performance in these areas. You can view the UKMEA Sustainability Policy in attachment 8.

Global Sustainability Strategy

This sets out our sustainability expectations from the top levels of the firm. It defines our approach and responsibilities, and it supports us to maintain our position of leadership in this area. It states that “We remain committed to placing sustainability at the heart of all that we do, helping us in our mission to shape a better world.”

UKMEA Regional Sustainability Plan 2016/18

The Region Sustainability Plan responds to the firm’s Sustainability Policy, the Arup Strategy and the UKMEA Region Strategy. In addition to supporting these policies and strategies, the plan is also intended to support our commitments made during the 2015 UN Climate Change Conference in Paris (CoP21). The plan reflects increasingly active engagement by the

UKMEA Board with the sustainability agenda.

The plan sets out our priorities, risks and opportunities for the Region. Ultimately we must embed sustainability into everything we do and this plan is a key part of that.

This plan is focussed around five key priorities:

1. Improve the integration of sustainability into projects
2. Improve how we communicate our sustainability performance to staff and clients
3. Improve the way we integrate sustainability into our internal teams’ operations
4. Encourage local office support through the Resilience and Legacy Network
5. Improve the wellbeing and environmental performance of our facilities

To coordinate and monitor delivery of our RSP the UKMEA Board continues to appoint the RSP team, led by the region’s Sustainability Director Ian Rogers and coordinated by the UKMEA Sustainability Manager Andy Sheppard.

UKMEA Regional Sustainability Report 2016/17

We strive to embed sustainable practices into our own operations. Each year, we look to see where change is needed to improve our performance, and how we can modify our approach. This ongoing learning gives us first-hand experience to share with our clients and informs our work with them.

Energy, water, waste, paper and carbon figures exclude our Africa offices where data collection remains challenging. A copy of the 2017 UKMEA Regional Sustainability Plan will be available to view on the Arup website in August 2017.

Arup Management System (AMS)

The Arup Management Systems embraces Health and Safety, Quality and Environmental Management. This provides the procedures, processes, and documentation to complete our projects. The AMS has achieved a “single certificate” to ISO 9001, ISO 14001 and OHSAS 18001 covering all UK offices. The AMS captures project sustainability objectives and is used to monitor and record achievements and outstanding actions.

Environmental Management System (EMS)

A strategic approach has been taken to the implementation of our EMS within Arup. Implementation occurs at the group level, with our offices seeking certification locally to the requirements of ISO 14001:2004. While all of the environmental impacts of our activities require management, the assessment of each activity and consequent impact is used as a guide to prioritise actions, via risk assessments, through the EMS. These assessments results in significance ratings, calculated by considering the likelihood, severity and legal implications of environmental impacts.

Audits and Reviews of Sustainability Performance

We carry out annual internal system audits, regular project audits and an annual management review to ensure compliance with our internal processes and management of our environmental aspects. Our environmental audit process contributes to ongoing monitoring and improvement of environmentally sustainable performance.

Sustainable Procurement Vision

Arup’s Sustainable Procurement Vision aims to improve the environmental, social and ethical performance of our business by addressing these areas in the procurement of goods and services. We communicate this to new suppliers at tendering stage and have revised and improved our sourcing practices, supplier

questionnaires, tender scoring criteria and supplier contracts. Please see attachment 9.

SusNet

SusNet is Arup’s intranet site for sustainability skills, guidelines, tools and technologies. The site is an ‘umbrella’ or gateway for all sustainability skills in Arup. It provides access to information across a range of other sites to cover all aspects of sustainability at a business and project level. There is also a forum where people can ask sustainability/environmental questions and rapidly receive responses from experts within Arup.

OvaGreen

OvaGreen is a growing global network of environmental volunteers in Arup’s offices. They coordinate environmental initiatives within our offices, including: campaigns, climate week events, recycling waste, reducing energy, reviewing our purchase of products and improving our use of transport.

Activities and Implementation

Global Sustainability Strategy

This strategy commits us to bringing our sustainability approach and expertise to our projects, across all regions and all disciplines, to ultimately ‘shape a better world,’ develop our collaborations with clients for more sustainable design solutions, review and improve sustainability staff training, continue to improve Arup facilities and operations’ resource-efficiency, embody our vision and values, ‘walk the talk,’ and strengthen involvement in all communities in which we operate.

Specific performance targets are established against KPIs, to gauge our progress. We gather data on these metrics on a global and regional level, enabling us to review progress and adjust our actions for ongoing performance improvement. We report our performance publicly in our yearly UKMEA Sustainability

Report.

We recognise that our firm’s largest sustainability impact and influence is through our business (our projects). One of our priority areas for 2016-18 is to improve the integration of sustainability into projects by delivering projects that not only comply with local regulations, but achieve more sustainable outcomes in line with client expectations.

Arup and the WELL Building Standard

Arup has a number of employees worldwide who have recently become Provisional WELL Accredited Professionals.

The WELL Building Standard is a new green rating system that explores relationships between health, wellbeing and the built environment. The Standard is managed and administered by the WELL Building Institute and has synergies with both LEED and the Living Building Challenge.

Version 1.0 of the Standard is optimised for commercial and institutional buildings and can be applied to three project type: new construction and major renovations; tenant improvements; and shell and core developments. Future refinements will address the specific requirements of multifamily residences, retail and restaurants, sports facilities and convention centers, schools, and healthcare facilities.

Existing Buildings

With 40% of the UK’s energy usage and 50% of green house gas (GHG) emissions being attributed to existing buildings, Arup is committed to working to reduce the impact of these assets on their local communities. We have extensive experience of assisting the property sector to embrace sustainability and transform their property portfolios. This includes the retrofitting of existing assets and development of strategies to reduce energy use and change behaviours. We have produced existing buildings survival strategy guides to help owners to plan for the future

of their buildings. These guides set out and explain research on market and legislative challenges, strategies for revitalising assets, initiatives and ideas for prioritising actions, and case studies.

Asset MAP

Our building retrofitting services are underpinned by our proprietary software tool Asset MAP, which brings together architectural, engineering and financial risk analysis for the analysis of the economic and environmental improvement potential of a client's building or property portfolio. This helps us to advise clients on where best to focus any physical interventions.

A year in partnership with C40 Cities Climate Leadership Group



We continue to work with the C40 to deliver pioneering research that demonstrates the invaluable role of cities in reaching global climate change targets. Our findings have been widely endorsed and reported.

In December 2016, we launched a major new piece of research, entitled 'Deadline 2020: How cities will get the job done' to coincide with the C40 Summit of Mayors in Mexico. The report, produced by our Energy and Climate Change team, provides a detailed analysis of the contribution that the global C40 cities need to make to convert the agreement from aspiration into reality. This includes the need for cities to reduce emissions from an annual average of above 5 tCO₂e per citizen today to around 2.9 tCO₂e per citizen by 2030.

The C40 summit runs from 30 November to 2 December and focuses on the critical role that cities need to play, and the steps they need to take, to meet the objectives of the 'Paris Agreement' signed at CoP21 in 2015.

The report is the latest in a series of research projects delivered by Arup and C40 as part of our \$2m partnership.

SPeAR® Sustainable Project Appraisal Routine

Our SPeAR® software based tool relates to environmental rating systems including LEED®, BREEAM and CEEQUAL, and was developed by Arup's software and sustainability experts to help us to support clients' sustainability goals. The tool encompasses quantitative and qualitative appraisal, based on 23 core indicators. This is presented graphically using a traffic light type system to indicate performance against key themes. A tabulated summary of the input data is also generated, ensuring that the process is robust and auditable. It can assist with improving the social, economical and environmental performance of projects, expedite planning approvals, and reduce project risks and costs. SPeAR® output is available in a range of languages including Chinese, German, Italian, Polish and Spanish.

ASPIRE (A Sustainability Poverty and Infrastructure Routine for Evaluation).

This software based tool was created to provide organisations with an analytical framework that comprehensively addresses three 'pillars' of sustainability, (environment, society, economics) and uniquely recognises institutions as a fourth critical dimension, in developing country contexts. It uses over 90 detailed indicators to ensure that users ask the right questions and consider all the critical issues. It is built on the SPeAR® platform, and has been developed by Arup International Development in collaboration with Engineers Against Poverty.

CEEQUAL the Sustainability Assessment, Rating and Award Scheme for Civil Engineering

Arup is a CEEQUAL Project Partner and Technical Advisory Group member. We have been involved with each stage in the design development of CEEQUAL and since 2003, we have assessed £16 billion in projects. We have 3 of 28 UK verifiers within Arup and 29 trained assessors. We routinely achieve 'Excellent' awards where lead the assessment and have so far achieved over 96% in awards.

These awards include Bristol Water's proposed 9,400 mega-litre Cheddar Reservoir Two project and the primary foul drainage for the Olympic Park.

Communication of Policies and Procedures

All employees are made aware of our strategies, policies and procedures with respect to sustainability. These are also made available to all staff via our intranet and our environmental and sustainability teams.

Training

Sustainability training in the UKMEA region is provided through Arup University. A range of training options are available including Designing Sustainable Buildings e-learning modules, classroom based courses such as the Sustainability Workshop for Project Leaders and Sustainable Cities. More in-depth and specialist masters courses are also offered including Smart Cities and Energy Futures and Transitions. To complement formal sustainability training, informal and ad-hoc lunch-time talks and events are organised at office level to share best practice and sustainability learning from projects.

The total number of hours of sustainability training of UKMEA staff was 5,763, equating to 1.03 hours of sustainability training per employee per year.

Forums

In addition to training we encourage regular sharing of sustainability best practice across offices and projects. We have a number of sustainability related intranet based staff communication forums for the sharing of ideas and knowledge including: Ecology, Environmental, Food and Agriculture, Landscaping and Green Infrastructure, Living Roofs, and OvaGreen.

Sustainable Office Environments

We have been monitoring and reporting our carbon footprint since 2007. Our greatest source of carbon emissions is business travel, followed closely by emissions from indirect electricity generation to power our facilities. To ensure a safe and healthy workplace for our staff, we will maintain high standards of health and safety at our own offices, and require our clients to do likewise to ensure the protection of staff and their wellbeing while working on site.

Arup promotes multiple sustainability initiatives within the office environment focusing on reuse, recycling, energy consumption and behavioural change. We encourage our staff to consider their environmental impact and how we can work together sustainably and set global and regional targets to improve our facilities' sustainability performance. Our regional sustainability plan target is that 100% of our resource data will be monitored via Credit 360. Our sustainable procurement vision outlines our approach to procuring products and services.

We work closely with first-tier suppliers and encourage them to adopt sustainable behaviours. We require them to have their own environmental policies and targets, thereby influencing overall supply chain performance. Examples include: minimising deliveries of stationary and other materials, and purchasing uniforms made from recycled materials. Examples of sustainable initiatives are given below.

Office Energy Use and Supply

Arup is a participant in the Carbon Reduction Commitment Energy Efficiency Scheme and the Energy Saving Opportunity Scheme, and as a result, we consistently monitor our office energy use to determine where further reductions might be possible.

As part of our ongoing efforts to reduce carbon emissions per employee, an Energy Management System (EnMS) has been introduced to help manage energy usage in ten of our offices in the UK. Data is managed through an online automatic monitoring and targeting (AM&T) software platform. The system enables us to proactively capture, monitor, trend and report resource consumption and the energy performance of our buildings.

Energy use data for our UK offices is made available to staff through the annual sustainability report and using the Credit 360 software to generate an office specific report on all our sustainability metrics.

Video Conferencing

Since 2001, we have invested in, and made extensive use of video conferencing and teleconferencing. This enables effective communication while reducing the need for excessive travel. Our global use of desktop video conference calls (via Microsoft Lync) continues to increase and we predict that desktop VC will be the main driver for face to face meetings in the future, alongside our use of meeting room VC.

Follow You Printing



Follow you printing used in Arup's London office

We continue to utilise our existing print management software in the UK which reduces wasted prints by automatically deleting queued print jobs that are not collected within 24 hours. All print jobs are set-up by default to print double-sided and monochrome, as an additional measure to prevent waste and unnecessary use of print resources.

Night Watchman

This power management solution controls power and shuts down connected desktop computers at a scheduled time, preventing any computers left on after hours from consuming power overnight.

Bicycle Facilities

Arup has cycle storage with cyclist changing rooms and showers at all main offices in London. There is an active employee community of cyclists called BUG (Bicycle User Group). Since 2008, Arup has offered a cycle-to-work scheme in the UK, via our partners Cyclescheme, to encourage employees to enter a tax efficient bicycle rental agreement for cycling to work.

Since 2008/2009, there have been 1,361 participants enrolled on the scheme, and a total of £1.2m spent on bikes obtained through the scheme. Cyclescheme promotes the Arup scheme as an example of a successful long-running initiative with continually high engagement.

Stationery From “Green/Core” Products

Arup has a core list of stationary and office supplies from recycled, environmentally friendly and sustainable materials, which encourages the business to identify with the economic and environmental sustainability pillars. Approximately 87.5% of our printing paper is from a Forest Stewardship Council (FSC) certified source.

Office Waste and Recycling

Our offices follow the principles of waste prevention, reduction, re-use, recycling/composting and energy recovery. We apply waste segregation within all offices in the UKMEA region, and 87% of office waste was diverted from landfill from 1 April 2016 to 31 March 2017. A further 60% of office waste was recycled and/or composted during this period.

We work with BPR who convert our waste to energy, and we have a well publicised and organised waste policy and colour coded containers (as shown above) which clearly identify the correct waste locations. Many items are sorted in our recycling room for reuse, including PCs and steel toe capped boots (reused in Africa), and other items which are donated to charities.

The business across the UKMEA region has grown considerably since last year. The proportions of waste treatments have stayed largely static, with 87% diverted from landfill. There has also been a 23% reduction in the amount of waste generated per employee.



Colour-coded recycling bins in Arup's London office

Other

Further environmentally responsible initiatives include using all FSC sourced materials for furniture, and procuring fair trade or fairer trade food items. We work with all our suppliers, particularly in catering, to reduce packaging. An example is our fruit suppliers who now deliver in re-used plastic crates rather than cardboard boxes and paper wrapping. We also employ rainwater harvesting in our London offices.

In the UK, our successful Green Car scheme is still going strong. Over 120 employees have now obtained a new, low-emission vehicle through the scheme. Our fleet's average CO₂ emission of 87g/km making ours the most efficient salary sacrifice scheme on Hitachi's books. That is in large part due to the 120 g/km CO₂ emission cap we chose for the scheme, as we wanted this to be a genuinely sustainable and environmentally-friendly benefit. We have recently reviewed the scheme and further reduced the cap to 75 g/km CO₂ emission.

Outcome and Progress

UKMEA Sustainability Report

Our annual UKMEA Sustainability Report provides a snapshot of Arup's performance for the previous financial year, highlighting some of the work our teams have carried out around the globe.

The report showcases some of the many ways in which we have influenced the sustainability of our clients' projects. Case studies demonstrate the breadth of what sustainability means across a spectrum of sectors and provides examples of how we have delivered improved environmental performance and wellbeing for our clients.

The report also provides performance results which demonstrates our commitment to sustainability and promotes the fact that we are living by our values. Our 2016/17 report is still in production and won't be published on our website until August 2017.

Sustainable Offices

100% of Arup UKMEA region staff are working in offices with an EMS certified to ISO14001. Our annual UVDB Verify Management System Evaluation, by Achilles Information Ltd, scored 100% for Health & Safety, 100% for Environment and 100% for Quality in December 2016.

The Onsite Assessment scores for December 2016 were also 100% for Health and Safety, Environment and Quality.

Our global target for total paper consumption per FTE is a reduction of 15% compared to 2011/12 paper use, which was 36kg per employee. Continued prevalence of relying on digital media has led to a 23% reduction in the amount of paper each employee uses this reporting year. For the financial year 2016/2017 paper use in the UKMEA was 20kg per employee

which is lower than the set global target of 30.6 kg per employee.

Our global target for greenhouse gas emissions is a maximum of 3.0 tonnes of CO₂ equivalent [tCO₂e] per employee per year. For the financial year 2016/17 in the UKMEA region, emissions associated with both facilities and travel has remained the same (0% change) in carbon emissions per employee and a 5% increase in carbon emissions overall. The UKMEA emissions remain at 3.2 [tCO₂e] per employee.”

Global partnership with C40 to tackle climate change

Arup has already begun a series of research projects as part of a \$2m research programme in partnership with C40. This funding allows us to develop rigorous research and technical knowledge that will help improve the measurement, management and strategic planning of climate action in cities. Completed research projects include ‘Deadline 2020: How cities will get the job done’, a report which was issued to coincide with the C40 Summit of Mayors in Mexico, held in December 2016. We are also working with C40 to develop innovative visualisation tools to improve communication of C40 data, and explore how smart technology can support citizen participation in C40 cities.

Arup funds cookstoves project to save carbon emissions



We have signed a contract with Climatecare to establish a project to bring the benefits of energy efficient clean cooking technology to 100,000 people in Kenya over the next three years.

The project will see 20,000 efficient cook stoves provided to communities in Kenya through a micro-financing revolving credit fund. These robust and locally-produced cook stoves use almost 60% less wood or charcoal than traditional cooking techniques and significantly improve air quality in the home.

As the cookstoves burn charcoal more efficiently, Climatecare anticipate the emissions reductions made by the cookstoves will be 78,500 tonnes of CO₂ equivalent.

We are funding this project as part of our commitment to the CoP21 Paris Agreement to work towards a world where global warming is kept to less than 2°C above pre-industrial levels. These carbon reductions are additional to our wider efforts to reduce our own emissions as quickly as is practical. We are also continuing to find ways to improve the environmental sustainability advisory services we provide to clients.

Arup report launched at World Energy Congress

In February, we announced our partnership with The World Energy Council (WEC) which will see us contribute to the World Energy Scenarios Study, due to be unveiled at the World Congress in October.

Arup’s report, which will be launched at the congress, covers five key areas for development in urban energy. The report highlights how cities by switching to clean, low carbon energy resources and increasing their energy efficiency whilst reducing the impact of urbanisation is critical for their economic growth.

The five areas act as a call to action to city leaders and commercial organisations who can be a part of urban energy change. Our report also proposes the possibility of enhancing energy in the urban environment through innovation and technology through these five areas:

- Integrated city planning
- The powers of city mayors
- Project financing
- Transactive energy
- Hydrogen.

The World Energy Congress takes place in Istanbul and will see over 7,000 delegates attend from across the world. Arup will be in attendance and will take part in two panel sessions – one to launch and discuss the findings of our report, and the other about energy storage.

A series of marketing activities are planned to take place from the 10 October and we will investigate a number of angles through various pieces of content to encourage audiences to download our report. Themes include:

- How can Cities become more energy efficient as they increase in size and plan for a stable energy supply?
- How can you create a more reliable energy market through innovation in an urban area?
- How can commercial organisations adapt to change in urban energy, prepare for the future and reduce operational costs?
- Urban areas are sprawling and becoming overly populated. By 2050, 68% of the world’s population will live in an urban area. So how can Cities make sure there is enough energy to go around using previous infrastructure and new technology?
- How can commercial organisations capitalise on the market opportunities?

Environmental sensors in action

A challenge of realising the vision of green cities in delivering a healthier urban environment, is the lack of quantifiable evidence showing the benefits of Green Infrastructure (a collective term used to describe all green and blue spaces in and around urban spaces). As part of the 2015 Global Research Challenge, Arup worked with the University of York and PerkinElmer, a sensor developer based in Boston, US on the York Sensor project aimed to utilise sensor technology to address this issue and strengthen the evidence base for Green Infrastructure.

As part of the project, an array of 12 Perkin Elmer sensors were deployed in the city of York at the beginning of August 2016 and are now communicating real-time environmental information on air quality, noise, humidity and temperature at 20 seconds intervals to an online dashboard. This pilot is one of the most densely deployed environmental sensor networks of its kind in the world and will allow for high-spatial resolution analysis to examine the use of sensors and to explore the influences of Green Infrastructure on urban environment and wellbeing.

This research presents a significant opportunity for Arup to position itself as a thought leader in the application of environmental sensor technologies to drive the improvement of urban design and wellbeing.

The sensor network will be in operation for the next six months to facilitate data gathering and analysis.

Reducing single use plastic bottle waste

FRANK Water is a Water, Sanitation and Hygiene (WASH) charity that became a Strategic Partner of Arup UKMEA Community Engagement in April 2016.

Since 2010 FRANK Water has been taking the FreeFill initiative to festivals and outdoor events across the UK. FreeFill aims to reduce single use plastic bottle waste whilst raising funds and

awareness for FRANK Water's work in India. Festival goers are given the opportunity to purchase a variety of reusable water bottles from FRANK Water which makes them eligible for unlimited refills (FreeFills, if you will) of chilled, filtered water from FRANK Water over the summer.

This summer a team of 12 Arup staff from Bristol, Leeds, London and Cardiff supported FRANK Water at six of the ten festivals FreeFill attended. The Arup team helped FRANK Water to raise over £30,000, sell over 4,000 refillable bottles and gain exposure for FRANK Water from over 100,000 people who attended the events.

The Arup team are now working on a number of strategies to improve the FreeFill initiative for summer 2017, focusing on increasing public engagement with FRANK Water's work and improving the sustainability credentials of FreeFill.





Tackling London's polluted air, UK

Our London office has recently completed a project to improve air quality in London by developing a plan for London's largest and most ambitious neighbourhood enhancement area (NEA). Working closely with Transport for London, local government and local residents, our team brought together our expertise in air quality, transport, landscape, planning, freight logistics, ecology, city economics and sustainability.

We also introduced specific measures which can be implemented to improve air quality and the urban environment. The cost of the measures were calculated to enable funding sources to be identified. The measures and vision would be applicable in many cities around the world where air quality is a problem. By bringing together our experts in different fields we can provide a holistic approach to solving the problem of air pollution.

Supporting PIANC's navigating a changing climate initiative

Arup has joined this initiative which is part of the Think Climate coalition.

We have joined The World Association for Waterborne Transport Infrastructure (PIANC's) 'Navigating a Changing Climate' initiative as part of our commitment to increase resilience and adaptation to the effects of climate change and promote integrated and sustainable solutions for navigation infrastructure.

'Navigating a Changing Climate' initiative is part of Think Climate, an international multi-stakeholder coalition promoting climate change mitigation, adaptation and integrated solutions for waterborne transport infrastructure globally.

New Fossil Fuels Transition assessment tool

As part of our drive to support a move away from fossil fuels, our global Energy team has created a tool to help teams across the business assess projects for their potential environmental impact.

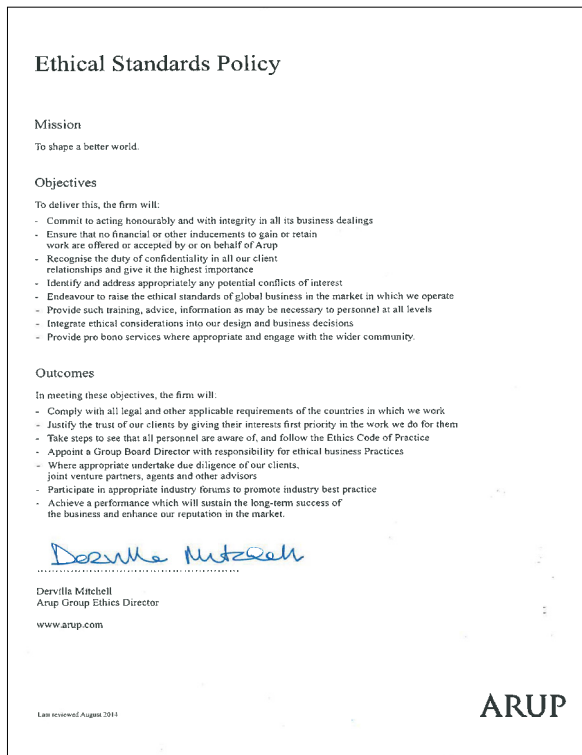
The simple seven step 'Fossil Fuels in Transition' tool can be applied to any project concerning energy exploration, extraction, processing, distribution and power or heat generation including those relating to enabling infrastructure (for example a dedicated rail line or port to facilitate coal extraction). Through the tool, teams will be able to evaluate future energy project opportunities against a set criteria as a useful input to a bid/no bid decision.



We are committed to maintaining our record of zero incidents of bribery and corruption.

Our Commitment

Our written Ethical Standards Policy, defines our core objectives:



- commit to acting honourably and with integrity in all our business dealings;
- ensure that no financial or other inducements to gain or retain work are offered or accepted by or on behalf of Arup;

- endeavour to raise the ethical standards of global business in the market in which we operate;
- provide such training, advice, information as may be necessary to personnel at all levels;
- integrate ethical considerations into our design and business decisions; and
- provide pro bono services where appropriate and engage with the wider community.

Our Approach

Key Speech

This speech was written and delivered by our founder Sir Ove Arup in 1970, that defines who we are, and sets our core values and guiding principles. The Key Speech is the high-level framework that guides behaviour within the firm. One of the six core principles is “straight and honorable dealings.”

Our global codes of practice support this and appropriate policy level statements are supported by local procedures as necessary. All employees receive a copy of the key speech as part of their induction. You can view the Key Speech here: <https://www.arup.com/en/publications/Speeches-and-Lectures/Section/Ove-Arups-Key-Speech>

Ovocode

Ovocode sets out our conditions of employment for all staff. This reinforces our Global Conduct and Performance Codes of Practice and Ethical Standards Policy.

Member of Anti-Corruption Organisations

Arup is a member of the World Economic Forum – Partnering Against Corruption Initiative (PACI) and the UK Anti-Corruption Forum.

Working Globally

As an international consultancy the anti-bribery laws of many jurisdictions apply to our business. On this basis we have developed extensive policies/codes of practice and procedures to ensure compliance.

Ethics Global Code of Practice/Procedure

This sets out our ethical values and is intended to provide guidance on acceptable business practice to ensure that these values, principles and standards are being met across a range of areas including: financial inducements, third parties, gifts and entertainment, competition, confidentiality, conduct and performance at work, client activity, conflict of interest, political contributions and asking questions and raising concerns. We believe that our Ethical Standards Policy and Ethics Code of Practice and Procedure are in line with the Bribery Act 2010 and the US foreign Corrupt Practices Act 1977 and other relevant legislation. Please see attachment 10.

Political Donations and Financial Inducements

Arup does not make political donations. Arup will not, in any circumstances make or offer to make a payment or transfer anything of value for the purposes of improperly obtaining or retaining business or any other improper business advantage.

Arup does not permit ‘facilitation’ payments made to expedite or guarantee government services that we are legally entitled to (e.g. connection of water, customs clearances) as these are prohibited in most countries.

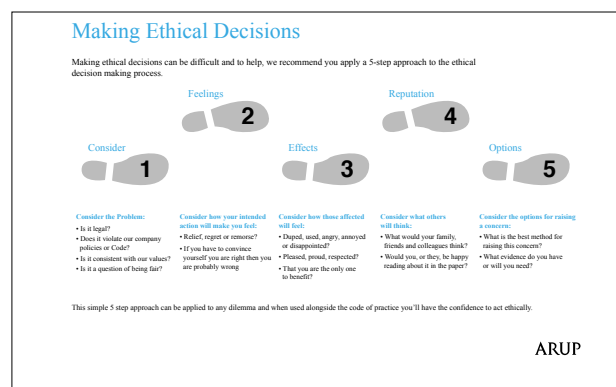
Global Conduct and Performance - Code of Practice

Our code of practice states that “All members of Arup are expected to act in a professional and competent manner in all aspects of their work. In support of this, the firm’s role shall, wherever practicable, be to give advice and guidance in accordance with its disciplinary procedure.” Please see attachment 5.

Ethical Standards Policy

This sets our ethical objectives as a firm (as listed above under Our Commitment). Our policy statement can be viewed in attachment 11.

Ethics Guidance on Making Ethical Decisions



This gives a five step process to assist staff with making ethical decisions. Please see attachment 12.

Anti Corruption Links

Our UK intranet provides guidance on the Bribery Act 2010 for the Infrastructure Sector from the UK Anti Corruption Forum.

Anti-Bribery and Due Diligence Check List

Our intranet area includes guidance on issues to consider when working on a project including anti-corruption provisions in our contract terms, and the appointment of partners or sub-consultants.

Communication of our Policy, Code and Procedure

The Arup Ethical Standards Policy and Ethics Code of Practice is communicated to all members of staff, is freely available via our employee intranet and is referred to in the Ethical Standards training that all staff are required to complete.

Partners and Sub consultants

Arup is committed to undertaking appropriate due diligence on all agents and joint venture partners, and where appropriate, sub consultants that we work with. The Arup standard for sub-consultancy agreements requires our sub-consultants to comply with all applicable laws and regulations relating to anti-bribery and anti-corruption. They must have and maintain in place, throughout the term of their appointment, their own policies and procedures to ensure compliance. This includes requirements for them to have anti-corruption programmes, client, project and partner ownership and funding arrangements. The complete document forms the basis of risk assessments and covers the country, client, project, partners, and agents associated with any proposed project.

Disciplinary Procedure

Our Disciplinary Procedure is designed to be supportive and to encourage improvements in individual conduct and performance. Disciplinary action follows for individuals who abuse Arup’s policies and procedures, including the Ethical Standards Policy, and for any “actions which undermine working relationships with colleagues and/or other organisations or which may compromise our integrity as a firm and our honourable dealings with people”. Please see attachment 13.

Activities and Implementation

Global Ethics Code of Practice and Procedure

As described above, this procedure provides practical guidance on acceptable behaviour across a range of areas.

Conflicts of Interest

Arup’s philosophy is based on acting honourably in our dealings with our own and other people. Our Ethical Standards Policy addresses the responsibility of each of our employees with regard to the fiduciary duties they owe.

Communication of Policies and Procedures

All employees are made aware of our strategies, policies and procedures with respect to ethics and anti-corruption. These are also made available to all staff via our intranet and our human resources team.

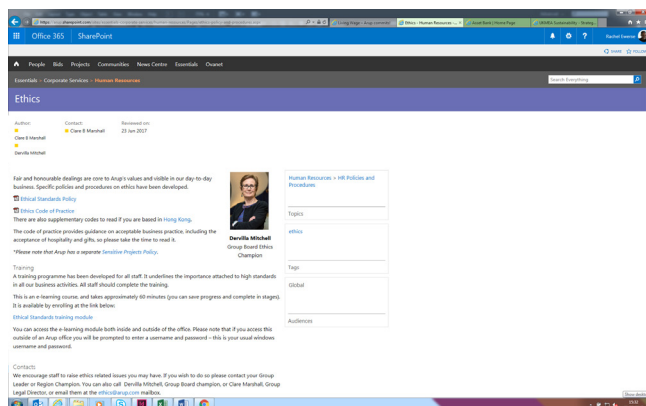
In the event of a breach of our policies, or a reason for complaint, we provide guidance for resolution in our Global Ethics Code of Practice and Procedure.

Communications Channels for Reporting Concerns

Arup has a dedicated intranet area for ethics, which is kept up to date with the latest relevant policies and procedures.

Our Global Ethics Code of Practice and Procedure includes guidance for staff on how to raise queries and concerns. Arup commits to investigate all potential breaches of this policy, that are reported in good faith, responsibly. This includes the following: “If you have a concern or suspect that a breach of this policy has occurred or may occur, you have a duty to report these concerns.” Reporting can be undertaken anonymously, although staff are encouraged to identify themselves to enable a full investigation. All questions or reported suspected breaches can be directed through the staff member’s Group Leader in

the first instance, but where this is not possible or appropriate, employees may choose to contact Dervilla Mitchell, the nominated member of the Arup Group Board.



Arup Ethics Intranet Page

This also identifies the roles and responsibilities of our managers, our human resources team, and our staff.

Global Board Representative/Champions



Dervilla Mitchell
Global Ethics Champion



Geoff Hunt
UKMEA Regional Ethics Champion

Dervilla Mitchell, Group Board Director, is the firm's global champion responsible for ethical business practices. She is supported by regional champions and works with them and others to create and approve policies and procedures and to continue to promote communications and education in this area. Geoff Hunt, UKMEA Regional Board Director and COO, is the UKMEA regional champion responsible for ethical business practices.

Training and Development

All staff are required to complete an Ethical Standards e-learning module which addresses the requirements of the Bribery Act 2010. This underlines the importance attached to high standards in all our business activities.

Our new Privacy Policy



A global policy and supporting measures, setting out our objectives to meet data privacy laws, has been launched in July 2016.

These objectives include being fair and reasonable in the collection and use of personal information, respecting the legal rights of

individuals and ensuring all personal information is held securely. The policy covers all instances of personal data, whether staff data, client data or personal data used for project work.

Data privacy laws are becoming more stringent in many jurisdictions and we are increasingly asked by clients when winning work how we comply with these laws and how our internal processes support this. Mishandled data can have serious repercussions for organisations, including financial penalties, damaged reputation and loss of trust. It is therefore important that we all understand what personal data is and what we have to do to handle it correctly.

The Privacy Policy is supported by a number of documents and training modules that provide a framework for us all to process personal data in the right way. A copy of our Privacy Policy can be viewed in attachment 14.

Outcomes and Progress

We confirm that in the last three years we have not been the subject of a formal investigation by the Equality and Human Rights Commission or an equivalent body, on the grounds of unlawful discrimination.

Arup has not been involved in any legal cases, rulings, or other events related to bribery or corruption. There are zero offences for corruption or bribery in the firm.

Our company financial accounts are subjected to external audit every year. These audits are to confirm that the financial reporting framework that has been applied in their preparation is applicable law and United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice). This audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error.

100% of new employees received the Key Speech, setting out our guiding values and principles, including our commitment to honourable dealings which we expect our people to follow.

It is compulsory for all staff to complete the e-learning ethics training course.

The published results of the 2013 global Arup staff survey attracted the highest ever response and showed that 84% of respondents agree that “Arup is ethical in its business dealings,” with 15% neutral. The survey results have informed board level, regional, and group action plans to improve our performance further.

Attempted bribery of Arup staff leads to 15 month jail sentence

In the March 2015 issue of the Bulletin (an internal publication for Arup staff), we looked at examples of difficult ethical behaviour, including the case in East Asia in which a member of staff on site was asked by a site foreman to accept non-compliant materials for construction.

It was reported in the South China Morning Post, that the foreman in question has now been jailed for 15 months for offering a bribe to Shum Po-kit in the form of a Macau casino chip worth HK\$50,000. “Our member of staff rejected the offer straight away and the incident was reported to the law enforcement agency,” says KO Yeung, East Asia Ethics Champion.

The Post reports that Shum, who worked for Arup at the time, refused this same bribe on two occasions.

KO stresses that regular training on our construction sites and in our offices helps us all to remain vigilant in the face of this sort of behaviour. “This incident, and the severity of the punishment, demonstrates the importance of communicating clear ethical policies and offering regular training to our staff, especially those responsible for the firm’s supervising duties.”

ARUP

Ethical Standards Code of Practice
Business ethics and making ethical decisions

Q

Is being ethical simply a case of obeying the laws of the countries in which we operate?

Yes

No

Submit

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ARUP

Ethical Standards Code of Practice
Using the Code to solve ethical dilemmas

Q

Using third parties
Imagine that you have engaged a local agent to help you navigate through the local regulatory minefield. He's proved very effective in a difficult market. But someone's just hinted that he may be bribing local officials to make things happen.

Which of the following statements do you think you agree with?

	Agree	Disagree
Having employed him we'll just have to live with it until the end of the project.	<div></div>	<div></div>
We should investigate and if true we should terminate his contract immediately.	<div></div>	<div></div>
Ignore the rumour unless proof is provided.	<div></div>	<div></div>
Have a discreet word with the agent but continue to employ him because the project is so important.	<div></div>	<div></div>

Submit

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We actively seek opportunities to deliver positive social value by partnering with like-minded organisations to deliver sustainable development outcomes.

Our Commitment

Our founder, Ove Arup, established the firm to be ‘an organisation which is human and friendly’ and one that carries with it ‘a wish to do socially useful work and to join hands with others fighting for the same values’. This commitment is spelt out in the Key Speech written and delivered by our founder, Sir Ove Arup in 1970. It defines who we are, and sets out our core values and guiding principles, providing a high-level framework that guides appropriate behaviour within the firm.

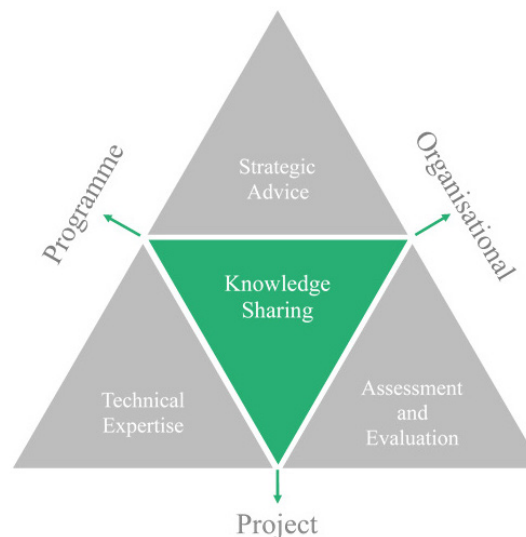
One of the six core principles that the speech identifies is “social usefulness.” Arup achieves this through our core business by only taking on projects which we believe contribute to our overall mission “to shape a better world.”

Arup International Development (Arup ID) operates on a cost recovery basis, working exclusively with organisations committed to improving social wellbeing and reducing vulnerability in developing countries. Our aim is to harness Arup’s skills and networks to provide accessible and affordable strategic advice and technical expertise in contexts where the key drivers of change facing society – climate change, urbanisation, poverty – are felt most acutely.

Our key areas of focus are:

- Sustainable infrastructure that enables access to water, energy, shelter, education and healthcare.
- Resilient cities and communities that are able to withstand, adapt to and transform when faced with sudden shocks or chronic stresses.
- Recovery and reconstruction in post-disaster contexts that empowers local communities and ensures donor funding ‘builds back better’.

Our Approach



Established in 2008, Arup ID – in Sydney and London collaborates with development and humanitarian organisations, to help strengthen the impact of their work. From the seed of an idea to final delivery, we help them make best use of their resources in order to combat poverty and vulnerability, and increase wellbeing and resilience in the developing world.

As a specialist unit within Arup we bring professional expertise across the firm to help unpack complex problems and bring improved clarity and rigour to the field.

Our collaborative approach is outlined in the diagram overleaf. We make sure our partners can best meet their strategic objectives and achieve their outcomes through the following areas:

Strategic Advice

From high-level strategic planning to physical interventions and programme management, we make sure we best meet project strategic objectives and achieve its outcomes.

Technical expertise

Making development sustainable is achievable. It requires a ‘systems thinking’ approach – an understanding of the complex interactions between urban systems, from infrastructure and buildings to energy, water and waste.

Assessment and evaluation

Through desk-based and fieldwork research we review projects, programmes and organisations in order to strengthen them for future success.

Knowledge Sharing

We believe in sharing knowledge, for the benefit of all – it’s at the heart of what we do. We proactively disseminate new learning and knowledge gained through our project work with the wider development sector.

Disseminate

Ultimately, we believe that humanitarian approaches to development should be the norm rather than stay within niche practices. We work hard to share learnings from projects and programs to benefit the wider development community.

Examples: frameworks, tools, methodologies, papers, building codes, lecture and events

Initiate

We initiate new ideas and concepts through evidence based research, constantly pushing new boundaries and focus on applying our findings from cutting edge research to the developing world.

Examples: Sustainability, Climate Resilience, Safe Schools, Urban Health, City Resilience, Pro-poor Policies, Programme Management, Training Material

Participate

We participate in the development process from the beginning, promoting broad consultation and a cooperative approach between various stakeholders, specialists and communities.

Examples: participatory design, scoping workshops, community and stakeholder engagement

Create

We design physical interventions with community empowerment in mind. Instead of creating one-off solutions, we propose systematic approaches to physical interventions that enable sharing wider benefits to local communities.

Examples: rural schools, community facilities, health institutions, shelter and masterplans

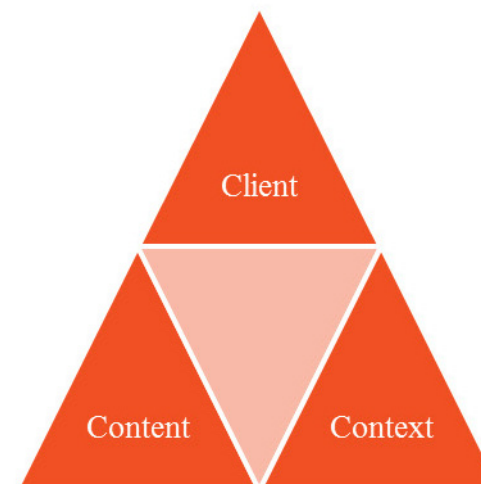
Evaluate

Through innovative, context-specific evaluation and monitoring tools, we help development agencies, research and humanitarian organisations, and the private sector to improve outcomes for development projects and programs.

Examples: structural review, energy sustainability, post disaster reconstruction and infrastructure assessments

Collaborate
Collaboration is at the heart of our work. We work with partners, specialists and communities to help them make best use of limited resources in order to increase wellbeing and resilience in the developing world.

Arup ID services and collaborative approach at project, programme and organisational scales Arup ID works across a range of sectors, often in challenging geographies, to help combat poverty and vulnerability to increase wellbeing and resilience in the developing world. When considering project opportunities we make sure that we understand the project's three Cs – Content, Client, and Context.



Arup ID approach to understanding projects

First, we determine if we are familiar with the project's **context**, the environment in which the project is based. Second, we determine if Arup has the appropriate skills and expertise to address the project's **content**. And finally, we decide if the **client** objectives and values align with ours and they have a commitment to improving social well-being and reducing vulnerability in developing countries.

Who we work with

Over the last year we have partnered with the following organisations:

NGOs

- Plan International
- Save the Children
- The Sabre Charitable Trust
- Nepal Society for Earthquake Technology (NSET)

Red Cross Organisations

- British Red Cross

UN Agencies

- International Labour Office (ILO)
- UN Office for Project Services (UNOPS)

Development Bank Organisations

- Asian Development Bank (ADB)
- The World Bank

Charitable Foundations

- Lloyds Register Foundation
- Rockefeller Foundation
- The Prudence Foundation

Social Enterprises

- Domogeo
- MASS Design Group
- Crown Agents

Government Organisations

- Australian Government Department of Health and Aging
- New South Wales Department of Education & Communities
- UK Department for International Development (DFID)

Developers (AgDevCo)

- International Institute for Environment and Development (IIED)
- UK Foreign & Commonwealth Office

Partnerships

- 100 Resilient Cities
- Cities Alliance

Universities

- University College London
- Bristol University

Our people

Jo da Silva



Jo da Silva, Founder and Director,
Arup ID

Jo da Silva is Director, Arup International Development and Global Leader City Resilience. She studied Engineering at Cambridge University and is a Doctor of Technology (Hon), Coventry University. She has been responsible for the design and delivery of both major and community-led infrastructure projects in Asia, Africa, and Europe; and has worked extensively in post-disaster situations on recovery and reconstruction programmes. Over the past 10 years, Jo's work has focussed on understanding and measuring resilience including: the Asia Cities Climate Change Resilience Network, developing the City Resilience Index which is being used by 100 Resilient Cities, also the Characteristics of a Resilient Community for the International Federation of the Red Cross. She is currently developing a programme to catalyse resilience within and between critical infrastructure sectors – the Resilience Shift.



Ripin Kalra



Ripin Kalra, Associate Director,
Arup ID

Ripin works to advocate Disaster Risk Reduction, Low Carbon Development and Resilience within the built-environment. He has first-hand experience in over 25 countries across Latin America and Caribbean, South Asia, Sub-Saharan Africa / Indian Ocean Islands and East Asia / Pacific regions working across urban, education, affordable housing and development finance sectors.

Samantha Stratton-Short



Samantha Stratton-Short, Associate
Director, Arup ID

Samantha specialises in the performance of complex programmes, organisations and institutions striving to meet the demands for a resilient future in both post-disaster and development contexts. She leads teams of engineers, urbanists, social scientists, and climate scientists addressing these issues across a diverse portfolio of projects.

With a background in environmental design and social science research, Samantha has nearly 20 years' experience managing programmes and advising on governance and organisational strategy for organisations including the United Nations, the Asian Development Bank, the Rockefeller Foundation and the World Economic Forum.

Samantha's experience as a programme manager and advisor in post-disaster situations such as Sri Lanka, Pakistan, Bangladesh and Haiti, has given her first-hand exposure to the issues of vulnerability to the increasing hazards facing societies globally, but particularly in the developing world. This has led most recently work on the performance of systems – particularly within cities - under the increasing pressures of shocks and stresses, including the City Risk Index, now being rolled out to 100 Resilient Cities.

Kirsten McDonald

Kirsten McDonald, Associate
Principal, Arup ID

Kirsten specialises in program and project design with a focus on developmental outcomes; multi-stakeholder participatory design processes; the design and delivery of capacity building programs; and the management of complex programs and projects. Sectors of expertise include city resilience, community development, essential services infrastructure, health, housing, education, justice, legal and workplaces. Countries of

work experience include Australia, Bangladesh (desk-based), Cambodia, Indonesia, Papua New Guinea, Philippines, Samoa, Singapore, Solomon Islands, Thailand, Tonga (desk-based) and Vanuatu.



Activities and Implementation

International Labour Organization Remediation Co-ordination Cell (RCC)

We have provided technical advice to the International Labour Organization who are supporting the Government of Bangladesh to remediate at risk factories in the readymade garment sector. The RCC designed by Arup will be a multi stakeholder organisation responsible for overseeing and enforcing structural, fire and electrical safety of 2,470 factories. It is forecast to require up to 200 staff drawn from four Government departments as well as local and international private sectors. This project designed an organisational structure, identified the requirements of the Government of Bangladesh and created a Business plan that sets out how factories will be remediated.

What impact will the RCC have?

- Ultimately responsible for enabling and enforcing safer work places for over 3.5million people working in the ready-made garment industry and improving the resilience of the largest exporting industry in Bangladesh safeguarding 20% of the country's GDP and contributing to sustainable development goals.
- Build capacity of public and private sector engineers and strengthening of Bangladeshi institutions to leave a lasting culture of safety
- Generate lessons learnt for application in numerous other countries with vulnerable building stock resulting from rapid urbanisation and industrialisation.



Arup have provided technical advice to ILO who are supporting the Government of Bangladesh to remediate at risk factories

UNOPS Long Term Agreement

Our breadth and depth of technical expertise combined with our global presence of local knowledge means we are well placed to provide project reviews to ensure projects are appropriate and effective and to reduce the reputational and user risk for UNOPS projects.

We have worked with various UNOPS offices to build their appreciation of the value project reviews can have, particularly at early project stages where the ability to influence the project direction is greatest and the impact on the cost of implementing changes is low.

Over the last 12 months, our support has included both strategic advice on organisational change and program management as well as technical support to specific projects, including:

Tanzania Sea Walls

We undertook a feasibility study and initial concept designs for sea walls, groynes, and natural protection works at five locations along the north east coast in Tanzania.

Our technical specialists in climate change resilience, geomorphology, marine structures, and geotechnics helped to define the key characteristics and requirements for each site, and develop solutions to achieve coastal protection over the next 50 years to 100 years.



A coastal defence in Tanzania

Design Reviews

We have provided technical design reviews at key project milestones to reduce project risk, and enhance project outcomes for UNOPS projects. For example we reviewed the geotechnical, structural, and electrical design of a wind turbine and solar PV farm in Afghanistan. We helped the UNOPS country team to overcome considerable related to the availability of appropriate capacity and capability in Afghanistan to design, communicate, and implement this project. Our review resolved technical challenges related to the dynamic loading on the turbine and the adequacy of the foundation design, and accommodating construction challenges related to insufficient pile bore depths being achieved. Our review also included an assessment of the demand on the electrical distribution system and the actual energy output data.

Another example is the review of an innovative use of a soil stabilisation product (Geocell) in the wearing course of a major road in South Sudan. Our review included both the technical assessment of the suitability of its application, and also the appropriateness of its specification in the context of South Sudan and to promote a fair competitive tender process for the construction contract.

Global Program for Safer Schools, World Bank

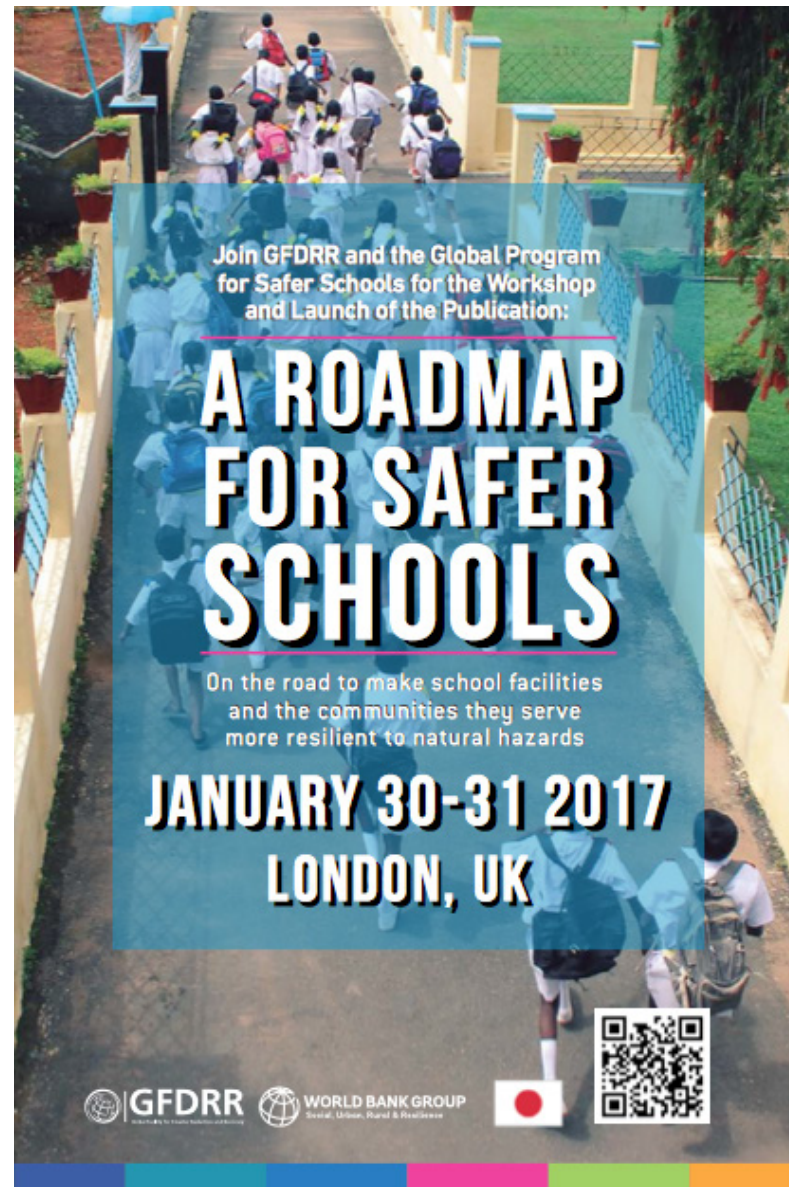
The Global Program for Safer Schools (GPSS) was launched by the Global Facility for Disaster Risk and Reduction (GFDRR) as a technical assistance program that targets countries where there is an ongoing or proposed investment in education infrastructure.

Arup has been contracted by the World Bank and GFDRR since 2014 to provide technical support to GPSS, including:

- Undertaking research into defining safer schools;
- Providing technical
- Support to World Bank country programs;
- Developing roadmaps and associated guidance notes;
- Contributing to a community based construction guide.

Key milestones:

- Launching the Safer Schools Roadmap at our offices in London in January 2016
- Writing a second roadmap for enhancing the safety of school facilities for post disaster contexts.
- Country visit to Dominican Republic to shape and prioritise a national investment in safe schools.
- Country diagnosis of Afghanistan to shape and prioritise a national investment in safe schools.



A poster from the Safer Schools Roadmap launch

The Resilience Shift



The RESILIENCE SHIFT is a global initiative pioneered by the Lloyd's Register Foundation (LRF) in partnership with Arup to catalyse resilience within and between critical infrastructure sectors. The RESILIENCE SHIFT will promote resilience engineering as a new and necessary approach to ensuring public safety and quality of life, fostering a paradigm shift in engineering approaches. Our vision is a more resilient world which understands the interconnected nature of modern life and the services on which we all depend. When faced with shocks and stresses, critical infrastructure will continue to protect, connect and provide for society.

A key milestone has been the first call for proposals launch the first in a series of thematic calls for research proposals, aimed at supporting our agenda setting. The theme for this call is: "Scoping studies for consolidating knowledge on resilience between and within critical infrastructure sectors".

Sabre Sustainable Kindergartens

The Sabre Charitable Trust is an education charity working in the nursery sector in Ghana. For almost ten years it has been working in partnership with Ove Arup & Partners, an international design and engineering firm, to build pre-schools in Ghana. This work led to Arup winning Pro Bono Company of the Year Category at the Better Society Awards.

Recently, we have been working collaboratively with Sabre to engage the MoE to adopt our safe sustainable model school design which provides a high quality child centred learning environment for kindergarten children across Ghana. It is planned that 200 schools will be constructed in the next 12 months and then a further 900 schools in the next few years.



Arup won Pro Bono Company of the Year Category at the Better Society Awards



Sabre Sustainable Kindergarten in Awidaa, Ghana

100 Resilient Cities

100 Resilient Cities (100RC) is an initiative pioneered by the Rockefeller Foundation dedicated to helping cities around the world become more resilient to the physical, social and economic challenges that are a growing part of the 21st century. 100RC has adopted the City Resilience Framework developed by Arup as the basis for analysing and understanding resilience in the cities that form part of their network. Additionally, Arup is 100RC's Strategy Partner for 22 cities in the 100RC network. In this role, Arup supports city governments in the development of a City Resilience Strategy by providing support with research, community engagement, data collection and analysis, and strategic and technical advice for policy and programme design.



100RC Agenda Setting Workshop in Buenos Aires

Learning from successful gender-responsive public goods and services programmes in cities

As part of their Joint Work Programme on Equitable Economic Growth in Cities, this UNOPS/Cities Alliance commissioned discussion paper sought to understand the characteristics of five successful gender-responsive public goods and services programmes in cities and their impact on equitable economic growth in cities. The aim of the discussion paper was to provide urban decision-makers with evidence-based insights and lessons to inform the design and delivery of public goods and services programmes. In partnership with Social Development Direct, Arup developed an 'urban-gender' framework to analyse how successful gender-responsive programmes interact with different urban systems, and analysed five successful cases based in Durban, Kingston, New Delhi, San Francisco, and Sao Paulo to derive learnings for city government, civil society, and the private sector.

UrbanARK

UrbanARK is a 3-year, £3.4m research and capacity building programme funded by the UK Department for International Development and ESRC. The programme, led by King's College London is a research consortium comprising 12 partners spanning UK and African research institutions including universities, NGO's, UN-Habitat, and Arup. The work seeks to open up an applied research and policy agenda for risk management in urban sub-Saharan Africa.

As the only private sector partner within UrbanARK, Arup's role is to better understand the role of the planning, design, and engineering of mega-projects in creating sustainable and resilient urban environments. Ultimately our research is aimed at shaping and influencing behavioural outcomes in city practitioners, including the design fraternity, such as professional engineering, architecture, and planning institutions in East Africa.



Map showing the cities being researched as part of the wider UrbanARK program



Contributions to Conferences and events

This past year members of the Arup International Development team attended a wide variety of conferences and events including:

- Panel for Policy and Regulatory Frameworks for Resilient Settlements at the Disaster Preparedness Forum 2017, Bangkok, Thailand
- 7th Resilience Engineering Association symposium
- CIRIA “Justifying investment in resilience” event

Steering Groups

The team are also active members of a variety of steering groups including:

- Promoting Safer Buildings steering group, addressing support to self-recovery in post disaster scenarios
- Humanitarian Hub steering group, aimed at coordinating the private sector rosters to provide technical support to the initial response efforts in a post disaster context
- The Sphere Project WASH, Urban Working Group and Shelter & Settlements Peer Review Group

Outcomes and Progress

Highlights this year have included:

Sustainable Buildings and Infrastructure

- Inspected over 800 factories there for Inditex and the Bangladesh Accord on Fire and Building Safety - an umbrella organisation of clothing companies, employers and workers' representatives.
- We have overseen and provided a quality review role on an additional 750 fire, electrical and structural factory inspections which were commissioned by the International Labour Organisation on behalf of the Bangladesh Government.
- Development of a 'Climate and Environment Cross-cutting Themes Strategy' identifying how DFID can address climate and environment issues across all its work with infrastructure and cities, based on desktop research and extensive stakeholder consultation.

Resilient Cities and Communities

- As Strategy Partner, we are providing strategic and technical support for the development of a City Resilience Strategy to 22 of the 100 cities in the 100 Resilient Cities network
- Developed, with Plan International, a Guidance Document to better integrate city resilience considerations into child-centred urban programming



100RC cities working with Arup as Strategy Partner



Hayley Grye and Joseph Stables carrying out school building safety assessments in Lombok, Indonesia

Arup's aspirations to "shape a better world" puts the firm at the very heart of communities around the globe.

Our Commitment

Every day, our work is helping to regenerate neighbourhoods, forge new physical and social infrastructure and transform lives for the better. Ove Arup established the firm to be 'an organisation which is human and friendly' and one that carries with it 'a wish to do socially useful work and to join hands with others fighting for the same values.'

Arup also has a long history of community engagement, encompassing both charitable donations and

voluntary (or pro-bono) engagement. The focus of our community engagement activities are strongly related to the sustainability agenda, with themes such as water

(WASH and environmental resources), clean energy, education and shelter (social wellbeing).

Arup Group commits to donate money and staff time for charitable purposes through its Community Engagement Programme. In recent years this has typically equated to 3% of our profit.

Arup considers charitable causes that relate closely to Arup's business and our mission to "shape a better world" and either:

- Serve the community in the areas where Arup offices are located;
- Alleviate poverty through supporting the economic, environmental and social development of developing countries;
- Save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies;
- improve access to education and training in our fields of

activity, across the many related disciplines of design and engineering;

- support efforts to meet the United Nations' 17 Sustainable Development Goals;
- Qualify for special consideration.

Our Approach

Arup aims to deliver a global programme of Community Engagement (CE) activities that is inclusive, integrated, inspiring and impactful. In recent years it has been made up of four strands or funds:

Local Engagement: providing support to organisations and communities that are local to our offices across the world and for whom our skills are particularly relevant.

Development: providing technical assistance to community based, and international, organisations; delivering projects that improve people's lives in developing and newly industrialised countries.

Disaster Response and Recovery (DRR): enabling our people to respond to humanitarian needs by supporting fundraising initiatives and responding to requests for technical support.

Global Education: supporting the development of engineering and the built environment through higher and further education.

In addition to the above, May 2017 saw the launch of the Arup Global Challenge. This initiative builds on Arup's continuing commitment to delivering excellent projects which have social value. Global Challenge will complement the other Arup Community Engagement funds and provides an opportunity to

deliver Community Engagement projects at a much larger scale. Arup has agreed to award grants up to £1 million per year for the next 5 years. Of the 17 UN SDGs, Arup will focus during 2017-18 on projects aligned to SDG 6 'Water and Sanitation' and SDG 7 'Affordable and Clean Energy'. Arup will work in partnership with NGOs and local communities to design and deliver solutions to challenges local communities have identified.

Our People

Our programme is directed by a steering group which includes Jerome Frost (Arup Group Board), Peter Bowtell (Principal, Australasia Board) and Jo Da Silva (Director, Arup International Development).

Our Programme is managed by the global Community Engagement Committee (CEC). This committee is chaired by Phil Walsh and includes the managers of each of the regional Community Engagement Committees in addition to the Development, DRR and Global Challenge Fund Managers. Current members of the global CEC are Jon Hurt (Americas), Sunny Oliver-Bennetts (Australasia), Ellen Lee (East Asia), Pdraig Coakley and Anna Montag (Europe), Alison Ball (UKMEA), Kubilay Hicylmaz (Development), Andy Kervell (Disaster Response and Recovery), Irene Gleeson (Global Challenge), Martin Ansley-Young (Arup Group Secretary) and Phil Walsh (Global PM).

Our community engagement work is initiated by our staff, our CEC team and our partners. We donate some cash directly to charities but believe we can maximise the value of our programme through donating our time and skills through pro-bono and volunteer work.

Who We Work With

We partner with charities which fulfil our Community Engagement mission, and who can best leverage the skills found within Arup.

Our list of strategic partners for 2016/17 is below:

- Ace Mentor
- A Drop of Life
- Bridges to Prosperity
- Class of Your Own
- De Paul Foundation
- Engineering Development Trust
- Engineers without Borders
- FRANK Water
- Habitat for Humanity
- The Ove Arup Foundation
- Property Industry Foundation
- Princes Trust (2017)
- Red R
- South African Education Trust
- Sowers Action
- Starehe Future
- Social Mobility Foundation (2017)
- St James's Settlement (2017)
- The Smith Family
- Wateraid

We are currently developing partnerships with other charities, and also deliver pro bono work to many other charities across the globe.

Our Community Engagement programme also benefits from the knowledge, skills and expertise that has been built up in Arup's International Development team. The two teams work together to ensure that community projects are well conceived and take account of the developmental / humanitarian context (both in terms of design and communication).

We use our Community Engagement Skills Network Forum to communicate about opportunities and activities and to share knowledge, news, and enthusiasm.

Activities and implementation

Here is a sample of some of our CE activities in the last financial year.

We have responded to Natural Disasters in Italy, Indonesia, Columbia and Ecuador. We have also supported recovery projects in Nepal, Vanuatu and Fiji:

- Continued our efforts following the devastating earthquake in Nepal 2015. Arup partnered with Architectes Sans Frontières (ASF), NSET, MapAction and others to support the relief and reconstruction effort.
- A DRT was formed in response to a large appeal across Arup to agree where funding should be directed to best support the affected communities in the Central Italy earthquakes. It was agreed quickly that the Italian civil defence and emergency services did not require Arup support. However DRR funding was provided for Arup staff to attend a national government committee responsible for



Architectes Sans Frontières in the aftermath of the earthquake in Nepal(ASF)

reconstruction.

- In April 2016 a 7.8-magnitude earthquake struck Ecuador, hitting the city of Pedernales particularly hard. In the wake of the disaster, two structural engineers from Arup, Anna Pavan from our Madrid office and Francisco Pavia from our Bogotá office, travelled to Pedernales as part of a 10-day mission coordinated by the UK Department for International Development (DFID). Their role was to help the Ecuadorian army and other authorities assess the structural condition of the most important buildings in Pedernales – such as schools,



Arup providing support in Ecuador

the church and the town hall.

- Working with our partner Missing Maps, hundreds of our employees around the globe have already contributed over 30,000 edits to the maps in the last year. More than 30,000 buildings and 6,000km of roads have been added.

We have worked on 23 development projects:

- In war-torn Democratic Republic of the Congo, we designed a badly needed new operating theatre to improve healthcare in the city of Bukavu. In addition to significantly improving the conditions for operations, the increased theatre capacity will generate an income for the hospital and help it become more financially secure. In the first six weeks after opening, doctors carried out 64 operations in the new building.

- In rural Guatemala, we've continued our mission to create a prototype school that will enable children to get a better education. The experience has shown the importance of geotechnical analysis to all school construction projects in San Pedro Carchá. To assist future work at other sites, we prepared a simplified model that will allow local engineers and contractors to carry out geotechnical analysis at the start of a project.
- Our project to study how the Moringa plant can be used for water purification in Sierra Leone could enable communities to get clean water cheaply and more easily. In addition to carrying out a concept study the Arup team carried out field visits to Sierra Leone. The visit showed that the team's concept has potential and enabled them to identify the steps necessary to get a pilot plant up and running. These include building the capacity of local communities in using moringa and nurturing a supply chain for Oil of Ben.



Arup and Pollinate are working to provide sustainable household products to communities in India

- Our employees gained valuable skills and experience helping to bring sustainable household products to communities in India. Our support has helped Pollinate towards its goal of operating in 20 Indian cities by 2020, and to reach one million people. This will make its model fully sustainable, and we will continue to support this very special social enterprise on its journey.

In Education:



One of our sponsored students, World Water Week, Stockholm

- Arup's annual donation to The Ove Arup Foundation in 2016/17 funded more than ten programmes advancing education in the built environment, with a particular emphasis on multidisciplinary design in engineering and architecture. The Foundation's included developing a teaching programme on social aspects of fire safety with the University of Edinburgh and a sustainable urban development programme in collaboration with the HK Polytechnic University. Through the University of Queensland it also developed a lecture and workshop discussing disruptive models of engineering education.
- As part of the V&A Engineering Season, the "Engineering the World: Ove Arup and the Philosophy of Total Design" Arup engineers designed and led ten workshops about engineering for family groups with children. These workshops were part of the half-term Family Art Fun programme at the Victoria and Albert Museum and aimed to inspire young people in engineering and design.



"Make it: House" family workshops at the V & A Museum

- Our annual donation to The Education Trust in South Africa (AET) supports its work to enhance quality of life for disadvantaged young people, particularly women, through education and skills development. During the 2016 academic year, The Trust sponsored 20 undergraduate students pursuing degrees linked to the built environment and enabled them to benefit from psychosocial support and mentoring. The Trust also sponsored a further 60 secondary school students.
- In addition to these donations, we provided grants for ten people under 35 to join World Water Week in Stockholm. The recipients would not otherwise have been able to attend, and the grants enabled younger people to become involved in solving the world's sustainable water management and sanitation challenges.



Elsewhere:

- The product of a global design challenge supported by Arup, AGRIshter addresses the chronic shortage of shelters to house the 60 million refugees forced to leave their home countries. It's built using biodegradable, local materials – such as wood, canvas and straw – that are durable, provide good insulation and are readily available around any city. As one of five winners of the Refugee Challenge organised by Amsterdam-based organisation What Design Can Do, AGRIshter benefitted from Arup's technical skills. Volunteers from our offices in Ireland, Italy, Germany and the Netherlands provided more than 200 hours of analysis, calculations, and sketches to ensure the shelter concept was technically feasible. Our specialists also researched how local, biodegradable materials such as straw could be used effectively.
- To celebrate our Hong Kong office's 40th anniversary, we set up the 20+20 mentorship programme. The yearlong initiative saw 20 Arup staff mentor 20 underprivileged pupils from five local secondary schools, giving them advice and guidance on education and careers.
- We are providing pro bono venue planning and acoustic consulting services to help a Colombian charity create a new rehearsal and performance space next to its existing administrative building in the historic centre of Bogotá. A team of three Arup acoustic and theatre consultants – one from Bogotá and two from New York – worked to shape a space that will be perfect for the charities' needs.

Outcomes and Progress

In the last year, our activities globally have made the following contributions:

- Worked on **155 major community engagement projects** and many smaller ones;
- Carried out community engagement activities in **34 different countries**;
- Invested **£2.4 million** in community engagement projects (a 50% increase on the previous year);
- Our staff have collectively volunteered over **9,300 hours of unpaid time** (valued at approximately £500,000);
- **Approximately 10-15% of our global workforce** have been involved with community engagement.

Although we have much to celebrate this year we continue to develop the structure and organization of our Community Engagement programme, including improving the way we measure the impact of our projects and by continuing to forge new partnerships and connections.

United Nations Global Compact:

Communication on Progress 2017

Supporting Information

1. Global Human Rights Code of Practice
2. Global Harassment Code of Practice & UK Harassment Policy
3. Global Health & Safety Policy
4. UKMEA Regional Diversity & Inclusion Strategy 2015/17
5. Global Conduct, Performance & Disciplinary Procedure
6. Grievance Code of Practice
7. Global Diversity & Inclusion Code of Practice
8. Sustainability Policy
9. Sustainable Procurement Vision
10. Ethical Global Code of Practice and Procedure
11. Ethical Standards Policy
12. Ethical Guidance on Making Decisions
13. Disciplinary Procedure
14. Privacy Policy

Human Rights : code of practice

CODE OF PRACTICE

Arup is founded on the principles of ensuring that our people's work is interesting, rewarding and stimulated by a drive for excellence in an environment where people's lives are inextricably linked with those of other human beings.

A guiding principle of the firm is that everyone accords to others the rights that individuals claim for themselves and accept the moral and humanitarian values that this embraces. A person cannot be treated just as a link in a chain of command but as someone whose happiness and prosperity is a concern of all.

PURPOSE

Our approach on human rights reflects this by:

Value Diversity. Ensuring that Arup people work in an environment that is free from all forms of discrimination and that they are valued as individuals and treated with dignity and respect. Discrimination on the grounds of age, disability, gender reassignment, marriage/civil partnership, pregnancy/maternity race, religion or belief, sex, sexual orientation, part time working, flexible or fixed term working is in conflict with our guiding principles.

Self Esteem. Providing an environment that is free from any form of harassment or intimidation by eliminating any form of behaviour or abuse that could affect an individual's self-esteem, including bullying and victimisation.

Life Balance. Helping people to more easily balance their work, domestic and personal lives

Fair Reward. Fairly compensating staff through pay and benefits for their labours. Providing for rewards and other means for staff to share in the firm's success.

Effective Workplace. Giving people a safe, clean, comfortable and healthy working environment that provides for the needs of all staff.

Integrity. Operating in an environment where we demonstrate consideration for people and respect for the job they do when they are striving to achieve the best that they can.

Personal Development. Treating people fairly, respecting the sanctity of human life and allowing gifted people to unfold.

Acting Honourably. Acting honourably in our dealings with our own and other people

Social Responsibility. Being aware of our social responsibility, striving to do socially useful work and joining hands with others who are working to achieve these values

Respect. Ensuring that no-one is subjected to arbitrary interference in their privacy, home or family or attacks on their honour or reputation.

EFFECTIVE DATE

October 2015

APPLICABILITY

All staff working for Arup worldwide, and others engaged by the Firm in any capacity, including clients, candidates and other third parties.

Harassment : code of practice

PURPOSE

The code of practice on harassment sets out Arup's commitment to the creation of a fair, humane, welcoming and inclusive environment where harassment is unacceptable and where members of its community treat each other with dignity and respect. The following code of practice informs staff of the type of behaviour that is not acceptable and provides employees who are subjected to harassment with a means of redress without fear of reprisal.

CODE OF PRACTICE

Harassment is harmful, unlawful and can reduce the effectiveness of the firm by undermining the confidence of staff. Harassment is defined as any form of unwanted conduct and behaviour which has the purpose or effect of violating a person's dignity and creating an intimidating, hostile, degrading, humiliating or offensive environment for the person.

Employees have a right to work in an environment:

- In which they are protected and which is free from harassment and / or bullying and aggression
- To be treated with dignity and respect
- To be treated in a fair and equitable manner
- To be protected from victimization or retaliation if they, in good faith, brought a complaint of harassment

The firm will take positive action to prevent its occurrence. Any complaint will be taken seriously and the necessary resources deployed to investigate and resolve the matter.

EFFECTIVE DATE

October 2015

APPLICABILITY

All staff working for Arup worldwide.

Harassment & Bullying

UK Policy

What can be categorised as Harassment?

Harassment may be characterised as unwanted conduct affecting the dignity of people in the workplace. It may be related to age, gender, gender reassignment, marital or civil partner status, pregnancy, race colour, disability, sex, sexual orientation, religion or belief, nationality of ethnic origin ("protected characteristics"), or any other personal characteristic of the individual. It may be persistent or an isolated incident. The key is that the actions or comments are viewed as demeaning and unacceptable to the recipient, whether or not this is intentional. It can occur in or at of the work place, such as on business trips or at events or work related social functions.

Bullying and Harassment can be carried out by anyone (including senior managers, officers, directors, employees, part time and fixed term employees as well as consultants, contractors, casual workers and agency staff) and also by third parties, such as customers, suppliers and/or visitors to Arup's premises.

Any complaint will be taken seriously and the necessary resources deployed to investigate and resolve the matter. Once the investigation is completed, the Leader who initiated the investigation will decide, on the strength of the findings, the appropriate action to be taken. Bullying and Harassment will be treated as misconduct.

Conversely, any malicious complaint which, on investigation, is shown to be without foundation, will be treated as a matter no less serious than an act of harassment.

Individual members of staff may in some cases be legally liable for harassment of colleagues or third parties and may be ordered to pay compensation by a Court or an Employment Tribunal.

What is Bullying?

Bullying may be characterised as offensive, intimidating, malicious, or insulting behaviour; an abuse or misuse of power through means which undermine, humiliate, denigrate, or injure the recipient.

Research suggests that bullies are just as likely to be female as male and that bullying happens equally to men and women.

Bullying behaviour may include:

- Setting of unachievable objectives and timescales
- Insisting that the management way is the only correct way of doing things
- Frequently 'changing the goal posts'
- Setting of 'trick' problems
- Public 'dressings down' whether justified or not
- Continual nit-picking about minor issues
- Asking individuals loaded questions about themselves
- Continually making derogatory statements about an individual
- Calling individuals by offensive names.

Legitimate, reasonable and constructive criticism of a workers' performance or behaviour, or a reasonable instruction given to a worker in the course of their employment will not amount to bullying on their own.

What is Harassment?

Harassment is any unusual physical, verbal or non-verbal contact which has the purpose or effect of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for them. It also includes treating someone less favourably because they have submitted or refused to submit to such behaviour in the past.

Harassment may include, for example:

- unwanted physical contact, including touching, pinching, probing, brushing past someone and more serious forms of physical or sexual assault;
- unwelcome sexual advances or suggestive behaviour;
- sending or displaying material that is pornographic or that some people may find offensive;
- offensive or intimidating comments or gestures or insensitive jokes;
- mocking, mimicking or belittling a persons' disability;
- racist, sexist, homophobic or ageist jokes, or derogatory of stereotypical remarks about a particular ethnic or religious group or gender;
- outing or threatening to out someone as gay, or lesbian; or
- ignoring or shunning someone, for example, by deliberately excluding them from a conversation or workplace social activity

A person may be harassed even if they were not the intended "target". For example, a person may be harassed by racist jokes about a different ethnic group if they create an offensive environment.

How do I raise my concerns?

What are the first steps?- Informal procedure

Employees who are harassed should keep a written record of all incidents, including the date, time, nature of incident, the names of those involved and the names of any witnesses. They should ask for colleagues who have witnessed the harassment to provide written statements of what they have seen or heard, so that they can be provided as evidence. The Human Resources Group is available to give confidential support and advice.

If possible, the person or persons carrying out the harassment should be told by the individual who is being harassed that the behaviour is offensive and unwanted and must stop. This can either be done by talking to the individual(s), or alternatively, writing a letter stating what happened, where and when. A colleague or a member of Human Resources Group can act as a witness when this statement is made. Alternatively, an appropriate Leader can speak to the alleged harasser.

Whenever possible, any complaint of harassment should be made in the first instance to the person to whom they report or someone of a similar level.

What can I do next?-Formal procedure

Where informal methods fail, or where a more serious incident of harassment occurs, employees have the right to bring a formal complaint using the firm's Grievance procedure (see Grievance code of practice). The complaint should be made in writing, and where possible state: the identity of the harasser(s)

- The nature of the harassment
- Date(s) and time(s) when harassment has occurred
- Names and witnesses to any incidents of harassment
- Any action taken by the employee to stop the harassment.

Employees may raise a complaint of harassment either with their Leader, a more senior member of the firm, or directly to the Human Resources Group. Where the complaint is raised initially with a Leader, the Leader should immediately involve the Human Resources Group.

The Leader will arrange for a thorough investigation of the complaint. The investigation will be conducted by someone with no prior involvement in the complaint. The steps taken will be those set out in the Grievance procedure. As far as possible, confidentiality will be maintained throughout the investigation. Individuals not involved in the complaint or the investigation are not to be told about it. It may be necessary to interview witnesses to the incidents complained of, and if so the importance of confidentiality will be emphasized to

them.

Where the complaint is about a member of staff we may consider suspending them on full pay pending the outcome of the investigation. The investigator will also meet with the alleged harasser or bully to hear their account of events. They have the right to be told the details of the allegations against them so they can respond.

Where your complaint is about someone other than an employee, such as a contractor, customer, supplier or visitor, we will consider what action may be appropriate to protect you and anyone else involved pending the outcome of the investigation, bearing in mind the reasonable needs of the firm and the rights of that person.

Once the investigation is completed, the Leader who initiated the investigation will decide, on the strength of the findings, the appropriate action to be taken. This may include disciplinary action, in which case the Conduct & Performance code of practice and disciplinary procedure will apply. A meeting will be arranged with you to discuss the outcome of your complaint and what action, if any, should be taken. You have the right to bring a colleague to the meeting, whether or not the complaint is upheld. We will consider how best to manage the ongoing working relationship between you and the alleged harasser or bully. This may include some form of mediation or counselling, or change to the duties, working location or reporting lines of both parties.

Where the harasser or bully is a third party, appropriate action might include putting up signs setting out acceptable and unacceptable behaviour, speaking or writing to the person about their behaviour or in very serious cases, banning them from the premises.

As a general principle, the decision whether to progress a complaint is up to you. However, Arup has a duty to protect all staff and may pursue the matter independently if we consider it appropriate to do so. Any malicious complaint which, on investigation, is shown to be without foundation, will be treated as a disciplinary matter no less serious than an act of harassment.

If the complainant or the alleged harasser is dissatisfied with the outcome of the procedure then he or she may appeal, (see appeals procedure in the Grievance Procedure and/or Conduct & Performance code of practice).

What are the roles in this process?

Leaders

- Any Leader who receives a complaint of harassment must arrange for an investigation of the complaint or incident and ensure that the problem is resolved as

quickly as possible, making sure that appropriate action is taken to ensure

compliance with the code of practice. Failure to take corrective action may in itself be treated as a disciplinary offence.

- All Leaders have a duty to establish and maintain a working environment free from harassment and should be observant and alert to the kind of behaviour which might indicate that a problem exists. Leaders should also be prepared to deal with any inappropriate behaviour even if it has not been complained about.
- Leaders are responsible for notifying the Human Resources Group when a formal case is raised, and must keep the Human Resources Group informed and involved as necessary, throughout the process.
- Leaders are responsible for ensuring that employees for whom they are responsible have knowledge of and understanding of the firm's code of practice.

Human Resources Group

- The Human Resources Group will assist Leaders and employees with advice and guidance involved in the use of this code of practice and will keep it under review.
- The Human Resources Group will also arrange for employees who request it to have access to advice from trained counsellors, eg from the firm's Employee Assistance Programme.

Employees

- All employees must comply with this policy and take steps to ensure that harassment does not occur.
- Any employee who feels bullied should feel confident that complaints will be taken seriously and dealt with in confidence
- Any employee who is made aware of harassment by a colleague must respect the confidence of the parties involved and should encourage the person being harassed to consider using the correct procedure.
- If an employee believes that a colleague is being harassed and that they have not complained about it, then it is the employee's duty to report the harassment of the colleague to their Leader or to the Human Resources Group.
- Employees who make complaints or who participate in good faith in any investigation conducted under this policy must not suffer any form of retaliation or victimisation as a result. If you believe you have suffered any such treatment you should inform the Human Resources Group. If the matter is not remedied you should file it formally using the firm's Grievance Procedure. Anyone found to have retaliated against or victimised someone for making a complaint or assisting in good faith with an investigation under this procedure will be subject to disciplinary action under the firm's Disciplinary Procedure.

ATTACHMENT 3

Health and Safety Policy

Mission

To shape a better world.

Objectives

To deliver this, the firm will:

- Ensure, so far as is reasonably practicable, the health and safety at work of all our employees including temporary and contract staff, and of other persons affected by our actions
- Provide such health and safety training, specialist advice, information, instruction and supervision as may be necessary to personnel at all levels
- Implement programmes for the prevention of injury and ill health, and for the continual improvement in the management and performance of our health and safety systems
- Integrate health and safety considerations into our design and business decisions commensurate with applicable law and professional standards
- Operate within a management system that is registered as meeting the requirements of OHSAS 18001 or equivalent.

Outcomes

In meeting these objectives, the firm will:

- Comply with applicable legal and other requirements
- Maintain a high standard of health and safety awareness by training and developing our staff
- Develop and record health and safety competencies for key staff
- Achieve a performance which will sustain the long-term success of the business.



Lup-Moon Lui

Arup Group Health and Safety Director

www.arup.com



Geoff Hunt

UKMEA Region Health and Safety Director

UKMEA diversity and inclusion strategy 2015-2017

UKMEA diversity and inclusion strategy 2015-2017

Vision

We want to be able to tell a story.

A story of an organisation that recruits, retains and develops a truly diverse workforce that reflects the communities it serves, no matter the grade or discipline.

The kind of place where people are proud to work, and feel comfortable in their own skin.

Why diversity and inclusion is important

Everyone is different and everyone's perspective matters.

At Arup we recognise that diverse teams stimulate innovation and respond better to society's needs. Diversity is about acknowledging and celebrating these differences and ensuring that everyone is treated fairly.

By embracing an inclusive culture that supports diverse talent, our people collaborate successfully and enable Arup to compete effectively. At Arup, we will provide an inclusive culture to enable everyone to feel they have a voice, and to be themselves.

Read on to see how our strategy will deliver this vision.

This Report

Introduction

Fostering a culture of inclusion is not a new idea, indeed, it is part of the very foundation on which Arup was built. To quote Ove Arup:

“If we can reach a stage where each man or woman is respected for the job they do, and is doing his or her best because the atmosphere is right, because they are proud of what we are and do and share in the general enthusiasm, then we are home.”



We want our people to feel valued and for this they need to be treated with dignity and respect. And yet we know this doesn't always happen and sometimes barriers exist which prevent everyone from being treated equally.

To make sure this happens, we have created this diversity and inclusion strategy; a plan of action with key deliverables to keep us on track. Its overriding principle is a simple one: people should be appreciated as

individuals for reasons related to business interests, as well as for moral and social reasons. **It's the right thing to do.**

In taking the widest possible view of inclusion and diversity, going beyond abilities, age, ethnicity, religion, sexual orientation, gender identity and expression, we will create an environment that welcomes and delights in the richness of our differences and in which all can thrive.

Diversity and inclusion: The business case

The benefits that a diverse and inclusive organisation can bring include:

- The ability to recruit, retain and progress the best talent. Research shows that employees are 20% more likely to stay at a company where difference and inclusion co-exist ¹
- An impact on our bottom line. Companies with inclusive cultures are 45% more likely to have improved market share, and 70% more likely to have captured a new market ²
- Improvement in our leadership and decision making capability
- More opportunities for innovation; diversity and inclusion embedded within teams discourages 'group think'
- Reputation; meeting client and wider stakeholder expectations; demonstrating we know diversity & inclusion is not just a 'nice to have'
- Alignment with our values; increasing staff satisfaction.

¹ The Corporate Executive board Global Labour Market survey of 18,500 employees

² The Centre of Talent Innovation (2013) Study looks at 75 corporations, across 192 countries covering 6 million employees

Where are we now?

Diversity and inclusion at Arup

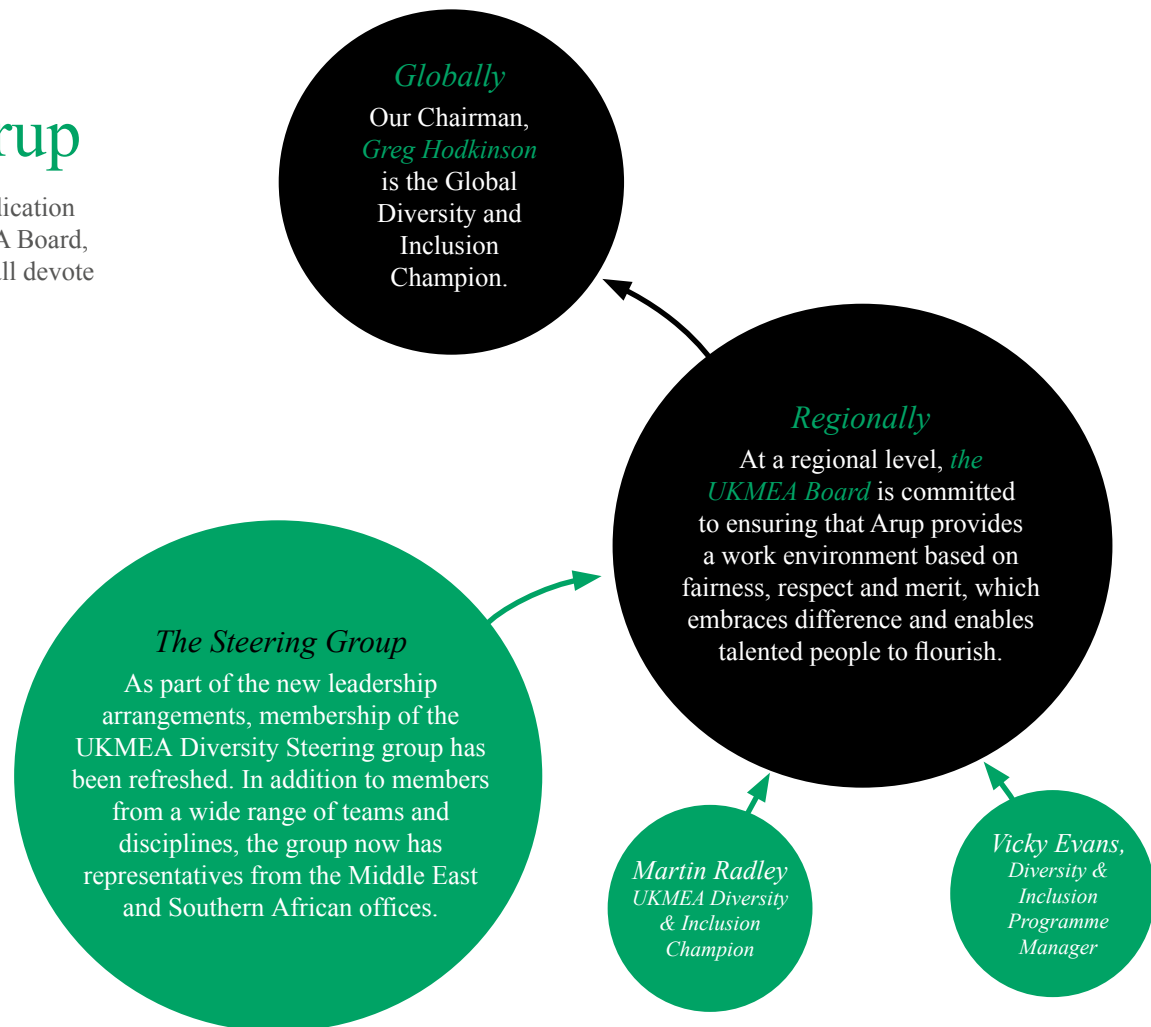
A diverse and inclusive environment is only possible with the support, dedication and input of our people. Every single one of us. That includes our UKMEA Board, committed champions, steering group and Connect group members, who all devote time and energy to help make Arup a better place.

Championing D&I at Arup

Diversity and inclusion go hand in hand. Diversity is essential to the future of Arup, and we have been working hard for a number of years to cultivate a more inclusive working environment. We are approaching the challenge in a co-ordinated and global manner and the agenda is championed from the very top.

Whilst good progress has been made, we still have a long way to go before we can say we truly reflect the world we shape.

You have a voice in this strategy. We welcome your comments as we move into the implementation phase. You can either email the team at diversity@arup.com or feed your ideas back via your group and office leaders.



Going forward Our strategy 2015-2017

This strategy sets out our vision for the next two years and outlines how we hope to achieve even greater progress. We know that when we can play to our strengths and sense of identity, we get a direct uplift in performance.

Employee Owned

This strategy is based on the voices of our people. In August 2014, we appealed on Opal Brainstorms for your ideas and feedback on what the new strategy should include and focus on. We had numerous responses, some of which are shown here.

The strategy has integrated as many ideas from the Opal Brainstorms as possible.

"We need more transparency - why was someone recruited or promoted? This lets other people see what skills are required to 'make it' whilst also celebrating the individual concerned"

"Recruitment outreach and engagement with schools is important. If we're (rightly) hiring on merit we can only make a difference by improving diversity in our pool of applicants"

"Awareness of one's unconscious bias for all colleagues (not just grades 7+)"

"Focus on all aspects of inclusion: different backgrounds, sex, sexuality, nationality, religion etc"

"We should definitely communicate the numbers better. For example, would people be surprised to find that the region with the lowest percentage of Grade 9 women is UKMEA?"

"We are generally good, but the spread is sporadic and there are some teams & team leaders that are far behind the progress of others"

"Inclusion (or exclusion) can be subtle. Meeting rooms are named after great Arupians but there are no women or people of different ethnicity. We should have a greater variety of faces!"

"We need to improve the industry stereotype"

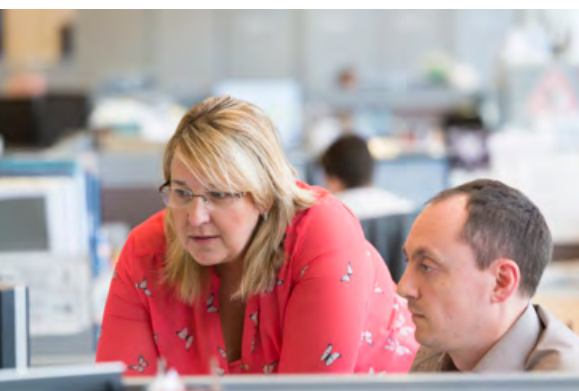
Structure of the strategy

The strategy is based on seven principles which will shape our activities going forwards and is structured as follows:

- *Key principle* e.g. informed and measured
- *What does this mean?* provides an understanding of what the key principle means in practice
- *Details of previous and on-going activities* to achieve the key principle. This helps us celebrate our successes so far
- *New activities* to support the key principles
- *Measurement* of our progress

Progress will be reported quarterly to the UKMEA Region Board by the Steering Group. The strategy and the progress made will be communicated both internally and externally.

The strategy: Informed & measured



What does this mean?

- We will ensure our people are informed about the importance of diversity and inclusion at Arup, empowering people to lead in an inclusive way
- Ensure all of our people are informed about their own unconscious biases
- Collect and measure baseline diversity data to understand the characteristics of our workforce. This will allow us to measure improvement and showcase our successes
- Undertake a benchmarking exercise and adapt an appropriate quality standard to measure our performance and provide an objective view of our progress

Previous and on-going activities

- In May 2009 we created our Inclusive Leadership Programme. The aim was to give leaders the skills and knowledge to recognise that everyone has unconscious bias, and to understand how to manage that bias. Since its inception 450 of our grades 7-9 have attended this training, although attendance is voluntary
- In October 2012 an external consultant, Dr Helen Zarod, reviewed gender diversity and recommended areas for improvement which have since been implemented
- Arup was the first engineering firm to sign up to the Stonewall programme. We have been working closely with Stonewall to improve our Workplace Equality Index results since joining in 2012, and our current rating places us in the top 200 firms

New activities

- Revise the current Inclusive Leadership Programme to ensure it applies current research around unconscious bias and inclusion. It should also make attendance mandatory for all Grades 7-9
- Develop and deliver an unconscious bias awareness e-module, to be available for all staff.
- Undertake voluntary annual 'Who Works at Arup?' survey. Collate data on gender, age, ethnicity, sexual orientation, disability, caring responsibilities and flexible working arrangements, in line with the Equality Act 2010
- Meaningfully disclose the data, initially via the group leaders to communicate to their groups, and then publish the data, as appropriate, internally and externally
- Develop a process to track progress and encourage gradual improvement
- Seek out and implement a suitable benchmarking process / external audit. Undertake benchmarking exercise to reflect all 'equality strands' rather than just gender, or sexuality e.g. National Equality Standard (or other appropriate quality standard)

Measurement

- New Inclusive Leadership Programme launched
- % of leadership staff who have taken part in Inclusive Leadership learning events
- % of staff who have accessed unconscious bias training
- Report results from the Who works at Arup survey
- Publish data
- Report survey response rate
- Report whether benchmarking has occurred and the results
- Achievement of a level which accurately recognises the progress we are making and where we need to go next

The strategy: Flexible



What does this mean?

- We will showcase and celebrate Arup's **flexible working policies** which enable our people to seek different working arrangements during their careers

Previous and on-going activities

- Successful flexible working stories are showcased on the intranet. These will continue with a spread of grades, cultures and genders represented

New activities

- Include flexible working as part of appraisal discussions
- Monitor uptake of flexible working arrangements

Measurement

- Requirement introduced successfully into the appraisal system
- Publish data

The strategy: Connected & engaged



What does this mean?

- We will promote an inclusive and fair culture where people feel respected, **engaged**, can be themselves and can speak out. This way, we will retain talent
- Provide staff with the opportunity to be **connected and engaged** with networks and form relationships that support them as individuals in contributing to Arup's success

Previous and on-going activities

- Our three Connect networks (Connect Cultures, Out and Women) celebrate our diversity and promote inclusion through regular events, workshops and speakers

New activities

- We will continue to support all Connect networks to host regular client and internal events focused on relevant and stimulating topics and will encourage more cross-working between 'Connect' Groups. We will boost internal engagement and involvement with 'Connect' Groups and their events through more targeted communication
- Support the launch and operation of Connect Cultures in Southern Africa and Middle East
- Launch a disability group / network (including a focus on Mental Health) (subject to demand)
- Launch a family network

- Review reasons for staff leaving after two years at Arup (data recorded by HR), and publish results on the intranet. Dependent on results, commission specific separate research
- Undertake progress interviews for new staff recruited at Grade 7-9 to ensure they are aware of Arup's inclusion policies
- Investigate the possibility of undertaking exit interviews, six months after exit and feedback to business leaders.

Measurement

- Hold three 'external' events per year per Connect Group and one combined external Connect event
- Report whether Connect Cultures has been established in Southern Africa and the Middle East
- Report whether additional disability group / network and family network has been established and scope required support, awareness raising and training
- Report whether a review of staff leaving has taken place and if data has been made available
- Report whether progress interviews are undertaken

The strategy:

Balanced



What does this mean?

- We will work toward a **balanced** allocation of opportunities for all staff. We must ‘level the playing field’ and target support towards those groups who are currently underrepresented in leadership

Previous and on-going activities

- Connect Out has developed a mentoring scheme which launched in August 2013. This scheme is on-going. A mentoring scheme specifically for women, to provide women at Arup with female mentors was successfully piloted in the Campus office and is about to launch in Scotland and the North East
- Diversity and inclusion is a standing agenda item on UKMEA board meetings
- Diversity and inclusion is a standing agenda item at group reviews
- Policies and guidance relating to the promotion process have been communicated and published on the HR intranet homepage

New activities

- Continue to address barriers which we believe are inhibiting entry and progression in the firm. Review and bolster mentoring programme for all staff, initially targeting those from minority backgrounds
- Continue to challenge promotions on basis of diversity and inclusion
- Increase Board membership to include person(s) from wider inclusive pool
- Provide access to bespoke training materials that support career development at Arup. Work with providers to ensure materials are available and suitable for all staff

Measurement

- Mentoring taking place throughout the firm
- % of female and other minority leaders in a mentoring relationship
- % of female and minority Board members
- % of female and minority staff
- % of female and minority staff in leadership roles (Grades 7-9)
- Corporate membership of three organisations which provide access to bespoke career development training

The strategy: Transparent & accountable



What does this mean?

- We will apply **transparent** and merit-based processes to advertise, appoint and promote the best people to new roles
- Leaders will be **accountable** for implementing positive action and involving their teams to ensure a culture that celebrates diversity

Previous and ongoing activities

- All role descriptions are posted on Arup News for internal and external recruitments
- Where certain roles/vacancies are not appropriate for open posting and enrolment, the UKMEA Region Board takes on responsibilities for reviewing diversity issues

New activities

- Sign up to and champion the principles in Think, Act, Report to drive greater transparency on gender and wider diversity employment issues
- Formalise and publish role descriptions and terms of reference for leadership roles at office, region and for practice leadership
- Advertise portfolio role vacancies and accompanying role descriptions on the intranet
- Nomination for UKMEA Board membership to be more transparent

- In line with the UK Corporate Governance Code provisions, disclose meaningful information about the Board appointment process and how we address diversity in the company's Annual Corporate Report, including a description of the search and nominations process⁵
- Each group and business to have an inclusion plan and leaders' performance to be measured against delivery of the plan as part of appraisal

Measurement

- Whether Arup is signed up to Think, Act, Report
- If formalised role descriptions and terms of reference are published on the intranet
- Whether portfolio role vacancies and role descriptions are available on the intranet
- Nomination process for UKMEA Board membership to be reviewed for transparency
- Disclosure of Board appointment process in annual corporate report
- Requirement introduced successfully into the appraisal system
- % of leadership staff with positive diversity and inclusion feedback in their appraisal

The strategy: Industry leading recruiter & employer



What does this mean?

- We want to attract and **recruit** the widest range of talent available and positively influence the career choices of the next generation – particularly those who may not traditionally apply to work at Arup
- We want to lead by example by promoting an increased focus and adoption of diversity and inclusion to the wider industry

Previous and ongoing activity

- We have relationships with a number of schools and universities which traditionally feed into our graduate streams. However, to ensure we are fully fishing from the widest pool of talent, a refresh of these schools and universities is required
- Continue engagement with current industry partners such as WISE, Stonewall, Association of Black Engineers, WES, Royal Academy of Engineering, RICS etc to ensure that collaborations continue to advance the diversity and inclusion agenda

New activities

- Promote Arup staff involvement with agencies such as Education and Employers to raise awareness of Arup as a diverse employer and stimulate pipeline. This includes holding lunchtime sessions, signposting to the website and celebration of Arup staff attendance at schools

- As part of graduate recruitment selection, review removing the following information as part of application review:

- Gender
- Address
- Name
- School

This will remove any biases which may influence selection process.

- Up-skill HR and interviewers to understand specific needs for recruitment of different equality strands e.g. gender, ethnicity etc

Measurement

- Number of Arup staff attending education and awareness raising at schools
- Whether removing information from CVs prior to selection review has any positive effect
- Tailored diversity awareness training provided to HR to ensure specific recruitment needs understood

The strategy: No nonsense communication



What does this mean?

- We want to use effective **communication** to articulate the importance of diversity and inclusion at Arup, to both staff and clients
- We must provide access to the latest thinking around the diversity and inclusion agenda and debunk myths

Previous and on-going activities

- There is a diversity intranet site with links to relevant policies, strategies and information on the Connect networks
- There is a diversity and inclusion section on the bid support intranet page

New activities

- Refresh diversity intranet pages to ensure they are up-to-date
- Undertake a review of current bid support material available to ensure it meets procurement standards. This will include communicating bid winning/losing information on a regular basis

- Inclusive Attraction and Recruitment – improving our communication to potential recruits
- Similar to Arup Thoughts, release regular ‘debunking the myths’ papers on the diversity and inclusion intranet page as a way of reporting progress and stimulating discussion e.g. ‘Why do people leave Arup?’, ‘How many women do we have at senior level? Why is there an imbalance?’, ‘Why are there not more black leaders in Arup?’

Measurement

- Intranet site to be updated regularly (at least every 2 months)
- Review of bid support material to have taken place by July 2015
- Review of internet pages relating to diversity and inclusion
- Report whether papers have been written and uploaded

Contacts and references

The members of the team responsible for delivering the UKMEA region diversity and inclusion strategy plan are shown below.

Diversity Team Contacts

General enquiries:
diversity@arup.com

Diversity and Inclusion Champion:
Martin.Radley@arup.com

Diversity and Inclusion Programme Manager:
Vicky.Evans@arup.com

Region Chair:
Alan.Belfield@arup.com

Conduct & Performance : code of practice

Purpose

Arup maintains a Conduct & Performance code of practice to uphold the professional standards expected from all its members. The code of practice provides a framework for guidance to members of the firm whose conduct and/or performance does not fulfil the firm's expectations. It also provides guidance to members who manage such issues.

The aim of the supporting disciplinary procedure is to provide a uniform, fair and responsive means of addressing issues of unsatisfactory conduct and/or performance.

CODE OF PRACTICE

All members of Arup are expected to act in a professional and competent manner in all aspects of their work. In support of this, the firm's role shall, wherever practicable, be to give advice and guidance in accordance with its disciplinary procedure.

Effective date

1 May 2001

Applicability

All employees working for Arup worldwide (but see also section 1 for further details).

Grievance : UK procedure

The framework outlined below is intended to be fair. It is designed to give you the appropriate opportunity to have your personal employment-related concerns heard within Arup. Your concern ("grievance") will be investigated thoroughly, and taken seriously, and you will be informed of the outcome.

1 Initial contact

You should always be able to talk in the first instance to the person to whom you report if you have a concern about an aspect of your employment with the partnership. If you do not feel it is appropriate, because of the nature of your concern, to talk to the person to whom you report you will have the facility to contact your next level of management, in which case you should contact your representative from the Human Resources Group for guidance. In the case of members of the Human Resources Group, they should contact another nominated leader within the same Division in order to seek guidance on how to proceed. Any discussion you have will be confidential between the people involved unless you specify otherwise.

The matter may be resolved at the time of the discussion, or the person to whom you report may need to check information. In any event, it is intended that you are notified of the outcome of your discussions within 10 working days.

The outcome of the discussion will take into account all the facts and be sensibly and carefully considered. If you are unhappy with the decision reached, you may raise the concern again, formally.

2 Raising a concern formally

You should submit a written summary of your concern to the person to whom you report. A meeting will be arranged within 10 working days, subject to postponement by mutual agreement to discuss the issue and attempt to resolve the matter.

If the matter is not dealt with to your satisfaction then an appeal may be made, in writing, to the next level of management within five working days of receipt of the original decision. Should this person be a Divisional Director, it shall be treated as the final stage of the procedure.

If you remain dissatisfied with the decision on appeal then a further appeal may be made, in writing, within 10 working days to the next level of management. This will be the final stage of the procedure and no further appeal will be possible.

3 Guidelines

At each stage of the formal procedure you may be accompanied by a colleague from within Arup and you should notify the person to whom you report if you intend to do this.

Although this procedure may be used to pursue an allegation of sexual harassment there is a separate procedure designed specifically for this which you may prefer to use.

Every effort will be made to give you a written explanation of the decision about your grievance within 10 working days, subject to postponement by mutual agreement.

4 The Responsibility of the Human Resources Group

The Human Resources Group are available to provide advice and guidance to all members involved in the use of this code of practice. The Leadership is responsible for notifying Human Resources when a formal grievance is raised, and for keeping Human Resources informed, and involved as necessary, throughout the process. A Human Resources representative will attend any meetings addressing an appeal. In the case of appeals from members of the Human Resources Group, any meeting will be attended by a member of the leadership team within the same Division.

ATTACHMENT 7

Diversity and Inclusion: Code of Practice

CODE OF PRACTICE

As a global organisation, we recognise and respect each others' differences and strive to build a working environment where our different values and perspectives are actively harnessed to create the best solutions for our equally diverse client base.

We will work to ensure that everyone feels their contribution is valued and their successes are celebrated through our processes and through our training and development.

The diversity and inclusiveness of our workforce is supported by our ethics on Sustainability and Human Rights.

Our employment and recruitment practices will adhere to, and strive to exceed, local legislation wherever we work in the world.

Arup's principles of Diversity and Inclusion extend to our clients, our suppliers and all those with whom we choose to work.

Purpose

Arup recognises that to produce work of high quality, to maintain our reputation for innovation and creativity and to understand and delight our clients we need to fully embrace the skills, talents and knowledge that only a diverse workforce can deliver.

Effective Date

1 January 2009

Applicability

All employees working for Arup worldwide, our applicants and all those with whom we have contact with through our working lives.

Equal opportunities : local procedure for the UK

1 Introduction

We must all be committed to ensuring that employment practices are applied fairly and equally, unless directed otherwise by law.

The Human Resources Group will monitor our employment policies and practices to ensure that they conform to relevant legislation, remain free from bias and enable us all to take advantage fully of available opportunities. The Human Resources Group will take action to redress any examples of discriminatory employment practices, direct or indirect. Any such examples within Arup should be brought to the attention of the Human Resources Group.

2 Procedures

2.1 Recruitment

Our equal opportunities code of practice applies equally to all recruitment activities, both internally and externally.

Those involved in the recruitment process must be familiar with the code of practice and its proper implementation. Information and training in support of this code of practice are available; each Arup employee is responsible for obtaining these as necessary.

The selection process shall be based on a job description which relates to the particular experience, knowledge and skills that are needed for the safe and effective performance of the job.

In the event of any complaint or criticism being made by any job applicant in relation to the application of the code of practice, the firm's grievance procedure is to be followed.

2.2 Training

Training is available to all members of Arup in accordance with our training code of practice. Any selection criteria applied to training opportunities will take full account of this equal opportunities code of practice.

2.3 Career development and promotion

The selection criteria for promotion and other career development opportunities within Arup will consider the relevant qualifications, experience and requirements that are needed for the safe and effective performance of the job and shall take full account of this equal opportunities code of practice.

2.4 Pay

Your salary and benefits will take account of your experience, knowledge and skills, in accordance with the spirit of this equal opportunities code of practice.

2.5 Selection for redundancy

If job functions become redundant, the selection process shall take full account of this equal opportunities code of practice.

The firm will ensure that any criteria applicable from time to time to the selection for redundancy are not directly or indirectly in conflict with this code of practice.

Those responsible for selecting and informing employees of redundancy must be familiar with the equal opportunities code of practice and its proper implementation. Information and training in support of this code of practice are available; each employee is responsible for obtaining these as necessary.

2.6 Grievance

If you believe you have not been treated equitably in accordance with this code of practice, you should refer to the firm's grievance procedure for details of action that may be taken.

If the grievance issue relates to the behaviour or actions of the person to whom you report or if you are not comfortable talking to the person to whom you report because of the nature of the grievance eg sex discrimination, the matter may be raised instead with an alternative member of Arup. This should be either a member of the Human Resources Group or another member of Arup who is at least as senior as the person to whom you report. In this event, the manager approached should notify the Human Resources Group directly that a grievance has been raised. All grievance matters raised will be treated confidentially.

2.7 Monitoring

Both members of Arup and job applicants are expected to provide certain reasonable personal data in order to ensure that our policies and employment practices are applied equitably throughout the firm. Such information will be collected when you apply when you become a member of the firm, and from time to time, as requested.

Any such information collected will be treated confidentially and will only be used for the purpose of monitoring whether our practices meet the aims stated in this code.

3 Responsibility

3.1 *Every member of Arup* has a responsibility to uphold our equal opportunities code of practice in order to ensure that everyone with whom we work is treated equally and honourably.

3.2 *Leaders* have a particular responsibility to ensure that grievances are investigated, that confidentiality is maintained and that appropriate action is taken.

3.3 *The Human Resources Group* has a particular responsibility to ensure that the firm's employment practices do not discriminate, directly or indirectly, against its members and job applicants. It will do this by monitoring procedures and providing a framework, which facilitates access to opportunities. The Human Resources Group will also support the grievance procedure.

3.4 *The firm* takes this commitment very seriously. Any acts of discrimination by its members will result in disciplinary action, including termination of employment if appropriate, in accordance with the firm's disciplinary procedure.

ATTACHMENT 8

Sustainability Policy

Mission

To shape a better world.

Objectives

The firm will implement practices that promote economic security, social betterment and environmental stewardship and will strive for continuous improvement of performance in these areas.

To deliver this, the firm aims to:

- Set a sustainability strategy for the firm
- Be a leader in sustainable development in areas relevant to its business
- Work with its clients to pursue, promote and develop sustainable business outcomes
- Promote sustainable practices
- Use its skills and influence to improve the built environment and to maintain the integrity and quality of the natural and cultural environments
- Hold its performance accountable to its staff through objective measurements
- Report on its sustainability performance and achievements
- Operate within a management system that is registered as meeting the requirements of ISO 14001.

Outcomes

In meeting these objectives, the firm will:

For its core business

- Comply with legal and other requirements that relate to its environmental aspects
- Provide value to clients by building upon its reputation for integrated design and a holistic approach to projects
- Deliver projects recognised for their sustainability credentials, in line with client expectations
- Evaluate projects with respect to their sustainability risks and opportunities and, where appropriate, work with the client to deliver a more sustainable outcome
- Achieve performance that ensures the firm's economic, environmental and financial viability.

For its people

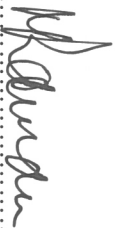
- Employ and retain staff who have a high degree of awareness and expertise in sustainability for all disciplines practised
- Provide ongoing education and training for all staff on sustainability issues relevant to the firm's business
- Support innovative approaches to the implementation of sustainability strategies on projects.

For its facilities

- Endeavour to prevent pollution
- Aim to use resources efficiently and to minimise waste, usage of water, energy and other consumables
- Implement a strategy to move towards minimising carbon emissions in its operations
- Implement a strategy for the firm to move towards sustainable procurement of the goods and services used in its operations.

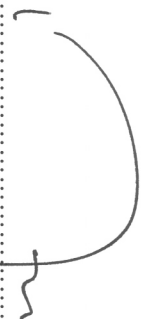
For its external relationships

- Engage with organisations that practise sustainability and that enable the exchange of ideas and the promotion of sustainability leadership across its businesses
- Implement a strategy to work on community projects that achieve sustainability goals.



Mahadev Raman
Arup Group Sustainability Director

www.arup.com



Leader for UK, Middle East
Y. A. Rana Region

ATTACHMENT 9



SUSTAINABLE PROCUREMENT VISION STATEMENT

Our vision for Sustainable Procurement is as follows:

Arup will improve the environmental, social and ethical performance of its own business by addressing these areas in the procurement of its goods and services. We will use our influence, wherever possible, to improve procurement performance throughout the supply chain.

We will only consume the goods and services that we require and avoid over consumption. We will also use them more wisely and consider their end of life to improve their performance over their lifetime. Those goods and services that we must procure will, overall, have higher environmental, social and ethical supply chain standards.

Arup's approach to sustainable procurement is built on the following:

- Environmental Management
- Supplier Equality and Diversity
- Support of Fair Practices in our Supply Base
- Ethical Trading
- Promoting Fair Employment Practices
- Community Benefits

We will work internally to promote behaviours that reduce over consumption and promote the wise use of goods and services. We will work closely with many of our first tier suppliers to effect improvement, but recognise that some of the greatest impacts will arise further along our supply chain. We will therefore seek to influence the performance of our supply chain by encouraging our suppliers to adopt sustainable behaviour.

Employees and suppliers are encouraged to suggest innovative approaches to promoting environmental, social and ethical aspects of sustainability within the total process, in procuring the goods, writing and responding to tenders, and throughout the life of contracts and the goods and services procured.

This vision will be communicated to our employees as well as current and prospective suppliers.

A handwritten signature in black ink, appearing to read "Dick Lee", written over a horizontal line.

Dick Lee
Chair of Facilities Executive
July 2009

Ethics: global procedure

1 Introduction

The ethical values of integrity, openness and fairness apply to all the activities of a company. It is important not only to have standards, but also to demonstrate to clients, and under possible media scrutiny, that such standards are being met; there is considerable reputational risk associated with ethical failures at a time when anti-corruption issues are high on the media and wider business agenda. The construction sector has been identified as one of the most vulnerable, and global companies that are exposed to diverse local business practices are particularly at risk.

The Board accepts responsibility to see that the values, principles and standards of business conduct underpinning how Arup operates are established and applied globally and in accordance with the [Ethical Standards Policy](#) has nominated a member of the Arup Group Board to be responsible for ethical business practices.

This code of practice is intended to provide guidance on acceptable business practice to ensure that these values, principles and standards, are being met. Our behaviour will be judged against these standards.

2 Financial inducements:

- Arup will not, in any circumstances make or offer to make a payment or transfer anything of value for the purposes of improperly obtaining or retaining business or any other improper business advantage.
- Arup does not permit 'facilitation' payments (payments made to expedite or guarantee government services that we are legally entitled to e.g. connection of water, customs clearances) as these are prohibited in most countries. The only circumstances in which a facilitating payment should be authorised is where there is a real risk to your health and/or safety, or that of a third party, if such a payment is not made. In such event the payment should be reported so that actions can be taken as appropriate.

3 Using third parties (including agents) or working in a Joint Venture:

- Arup commits to undertaking appropriate due diligence on all agents and joint venture partners, and where appropriate, sub consultants that we work with.
- If we are required to use agents or representatives in particular countries they must have a clearly defined scope of service and agree to abide by the applicable laws and the terms of this policy as we may be liable for any financial inducements that our agent makes, or offers to make.
- Any agency or joint venture agreements that we enter into should require the partners to comply with all applicable anti-bribery laws and to comply with this policy.
- Arup should reserve the right under any such agency or joint venture agreements to terminate the arrangements if there is a breach of any applicable laws or of this policy.

4 Gifts & Entertainment:

- You should exercise discretion in accepting or offering gifts or hospitality and in determining whether it is appropriate you should ensure you are aware of the circumstances and implications of the offer.
- Gifts and entertainment may be perceived as a financial inducement and should never be offered or accepted where the purpose is to gain an improper business advantage.
- Wherever possible, gifts from clients should be shared within the group that has been involved in the project.
- The following should be considered when determining if it is appropriate to accept or offer a gift or entertainment:
 - Any gifts or entertainment should be of a modest value, occur occasionally and be appropriate in all the circumstances. If you would feel embarrassed that colleagues or anyone outside of Arup knew about the gift, it is likely to be inappropriate.
 - The purpose of the hospitality must have a legitimate business purpose. It is not acceptable to accept hospitality if our business contact will not be present, and vice versa.
 - It is important to consider if the recipient is allowed to accept gifts, government officials and public bodies may be unable to do so.
 - As a general rule, we should only offer as gifts and entertainment what we would be comfortable to accept; and vice versa
 - There are some gifts and entertainment which cannot be accepted without prior approval from your Group Leader; these include, but are not limited to money; hospitality that lasts more than one day and that involves meals and/or travel being paid for.

5 Competition:

- Competition, however fierce, should always be undertaken honestly and fairly.
- You must not use improper means to obtain information about our competitors.

6 Confidentiality:

- Information that is not in the public domain or that may be regarded as confidential in relation to Arup's business or concerning any other organisation with which you, in the course of your work have had business dealings, must be kept confidential.
- You are reminded that there are laws in many countries that prohibit the use of confidential or unpublished information for insider trading on the stock market

7 Conduct & performance at work:

- You are expected to apply due skill, care and diligence in the services that you provide for clients. You should, at all times, work to the best of your ability.

-
- It is your personal responsibility to acquaint yourself with the legal standards and restrictions that are applicable to the location in which you are working any to comply with these in all respects.
 - Many of the professional bodies of which staff are members have ethical standards or Codes of Ethics that we individually, and corporately, must adhere to.
 - If you are responsible for supervising others in Arup you should:
 - Promote ethical behaviour and compliance with the policy
 - Monitor compliance with the policy and enforce it as is necessary
 - Support employees who ask questions or raise concerns in good faith

8 Client Activities:

- If you are reasonably concerned about the ethical aspects of a particular project, you will be allowed to decline involvement following appropriate consultation and agreement with your Group Leader
- If you are reasonably concerned about ethical aspects of a client's activities, you will be allowed to withdraw from working with that client after appropriate consultation and agreement with your Group Leader and the approval of the Region Chair.

9 Conflicts of Interest:

- Arup's professional duty extends to not placing ourselves in a position where any conflict of interest is likely to arise. Where any potential conflict does arise, we must identify it and ensure it is appropriately addressed. Where we have more than one role on the same project for different clients:
 - Follow the procedures for identifying all job opportunities through job application forms.
 - Seek client agreement to the arrangements
 - Implement effective information barriers between project teams so that teams are from separately located groups, led by separate project directors, and operating effectively as separate organisations. Further guidance on information barriers is available [here](#)
- You must not allow your private interests to influence your business judgment or decision making on behalf of Arup.
- You are not prohibited from owning shares in any of our client, partners, contractor's or competitor's businesses but it is essential that these business dealings do not raise a conflict of interest or give the appearance of doing so and you must comply with insider trading legislation at all times.
- Jobs/affiliations of close relatives may give rise to the appearance of a conflict of interest and this should be taken into account.
- You may be asked to serve on the board of directors or as trustees etc. of another organization and such roles can provide opportunities for personal development as well as building experience and relationships in new areas. Approval must be sought before such a post may be accepted in the following circumstances:
 - Where the organization is commercial (as this is likely to increase the chance of a conflict arising); or
 - Where there are, or may be perceived to be, concerns in respect of time and commitment, financial exposure or reputation

Approval should be obtained from the relevant Region Chair or, in the case of a Region Chair or Group Board member, by the Group Chair.

10 Political Contributions

- Arrup funds or facilities may not be used to make political contributions to any organisation or candidate for public office. You are not restricted from contributing financially, from your own funds, to political campaigns or from participating, in your own time, in political campaigns.

11 Asking Questions & Raising Concerns:

- Arrup encourages all staff to discuss any queries or concerns that relate to ethical business practices.
- If you have a concern or suspect that a breach of this policy has occurred or may occur, you have a duty to report these concerns.
- You may report suspected breaches of this policy anonymously, although you are encouraged to identify yourself so that a full investigation is possible. Investigation may not be possible or effective where reports are anonymous. Arrup will conduct any investigations sensitively and will take all reasonable steps to keep your identity confidential but in some cases disclosure will be unavoidable.
- All potential breaches of this policy that are reported in good faith will be investigated responsibly.
- Arrup will not tolerate any form of retaliation against individuals who report, in good faith, breaches or potential breaches of this policy.
- If you would like to ask a question or to report a suspected breach, you should:
 - Direct all queries are directed through your Group Leader in the first instance.
 - Where this is not possible or appropriate, employees may choose to contact the nominated member of the Arrup Group Board

12 Disciplinary Procedure for breach:

Failure to comply with the spirit or letter of this policy may result in significant reputational damage to Arrup and breaches of the law, of any country, is a serious matter which may subject Arrup and/or individual employees to civil and criminal penalties.

In addition to the above, where individuals are in breach of the terms of their contract of employment they may be subject to disciplinary action, up to and including termination.

Approved by Group Board, October 2011

Ethical Standards Policy

Mission

To shape a better world.

Objectives

To deliver this, the firm will:

- Act honourably and with integrity in all our business dealings.
- Integrate ethical considerations into our design and business decisions.
- See that no financial or other inducements to gain or retain work are offered or accepted by or on behalf of Arup.
- Recognise the duty of confidentiality in all our client relationships and give it the highest importance.
- Identify and address appropriately any potential conflicts of interest.
- Endeavour to raise the ethical standards of global business in the markets in which we operate.
- Provide advice, information and training on ethics to all our employees at all levels and locations.
- Provide pro bono services where appropriate and engage with the wider community.

Outcomes

In meeting these objectives, we will:

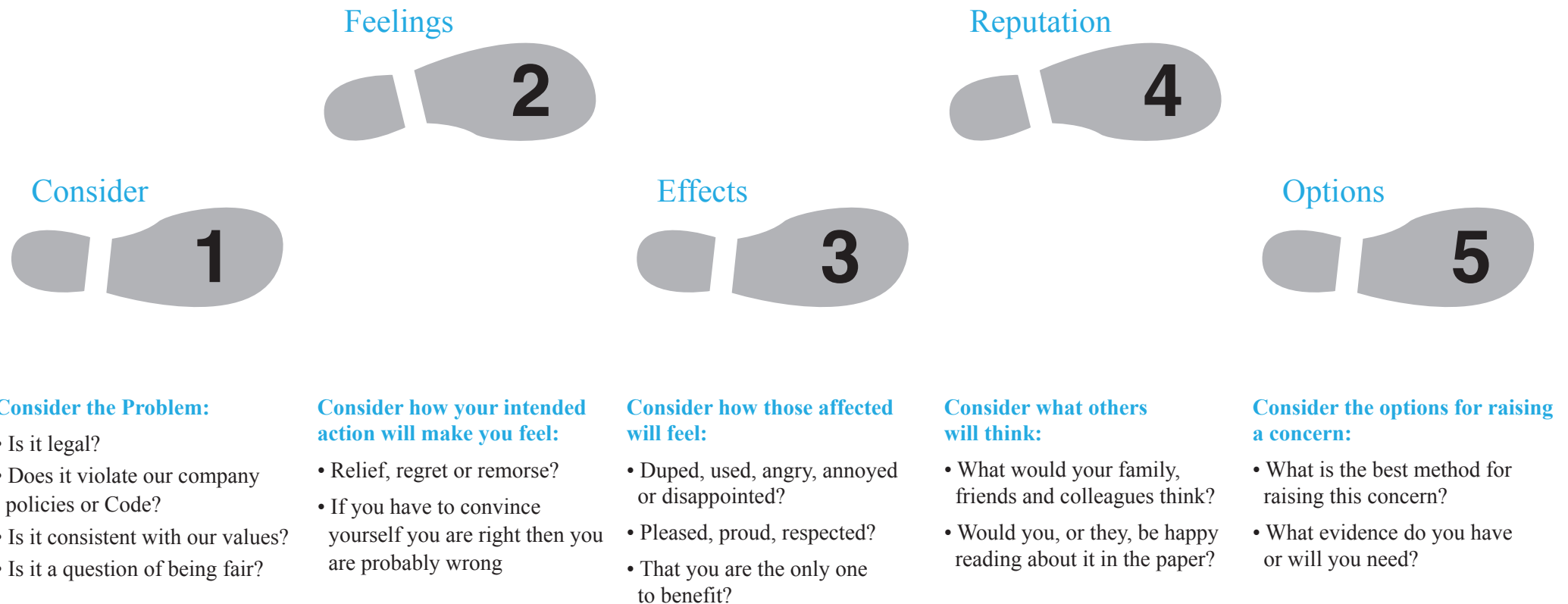
- Have a Group Board Director with responsibility for ethical business practices.
- Comply with all legal and other applicable regulatory requirements of the countries in which we work.
- Train, educate and share our Ethics Code of Practice with all our employees in order to foster relationships of trust with our clients.
- Undertake due diligence of our clients, joint venture partners, agents and other advisors, where appropriate.
- Participate in appropriate industry forums to promote best practice.
- Achieve performance that sustains the long-term success of the business.
- Implement and promote systems to deal with modern slavery in our business and supply chains and encourage transparency in our approach.

Dervilla Mitchell

Arup Group Ethics Director

Making Ethical Decisions

Making ethical decisions can be difficult and to help, we recommend you apply a 5-step approach to the ethical decision making process.



This simple 5 step approach can be applied to any dilemma and when used alongside the code of practice you'll have the confidence to act ethically.

Conduct & Performance : UK disciplinary procedure

1 Applicability

This procedure applies to all members of Arup in the UK, and to UK members seconded temporarily to work with the UK Partnership, outside the UK. Employees with less than six consecutive months' service with Arup will be subject to a modified procedure as outlined below in section 4.

2 Introduction

The disciplinary procedure is designed to be supportive and to encourage improvements in individual conduct and performance. It provides clear guidelines on the standard of conduct and performance which is expected, whilst also offering support to those who experience difficulty in meeting the standard.

Where there are no improvements in conduct/performance, sanctions may be imposed.

Particularly in the case of performance issues, the action may be to consider suitable alternative work within the firm or suitable training which may improve the situation.

Conduct:

The following list of examples of conduct which may result in disciplinary action is a guide and is not exhaustive. Unsatisfactory conduct could lead to disciplinary action such as the issue of a warning and/or the imposition of sanctions.

Unsatisfactory conduct includes such things as:

- poor time-keeping
- abuse of Arup's policies and procedures
- wilful refusal to carry out reasonable instructions given by someone in authority or other acts of unjustifiable insubordination
- persistent or unauthorised absences
- actions which undermine working relationships with colleagues and/or other organisations or which may compromise our integrity as a firm and our honourable dealings with people.

Some behaviour is completely unacceptable and could result in summary dismissal with no warnings being given. Such behaviour, termed gross misconduct, includes:

- misappropriation or abuse of the firm's property, including electronic property, or wilful damage to it
- instances of harassment or discrimination
- any kind of physical assault, threatened or actual, during employment or whilst using premises provided by the firm
- breaches of Arup's health and safety practices, or any action which endangers people's health or safety
- incapacity to work through being under the influence of alcohol or illegal drugs
- theft, attempted theft, fraud, misuse, or any other act intended to deprive the firm of its finances or property, including intellectual property and software; timesheet and expense claim falsifications are included
- serious breach of confidentiality, for whatever reason, except where specifically allowed by relevant UK legislation
- distribution by any means, including electronic, of material of an offensive, libellous, sexual, or racist nature.

Performance:

Before commencing any role within Arup employees should be aware of the performance standards expected. Where those standards are not met, the firm's disciplinary procedure will be used to agree the action required to rectify the situation.

3 The procedure

Wherever appropriate, an informal discussion will be held between you and the person to whom you directly report to discuss a case of poor performance or conduct. A written record will be made of this discussion, a copy given to you and a copy kept on your personnel file. If this discussion does not lead to the agreed improvement, the disciplinary procedure as outlined below will be used and this informal record of your discussion will be taken into account in subsequent disciplinary meetings with you.

Where the situation is more serious the formal disciplinary procedure will be used straight away.

There are four formal stages to the procedure, the fourth stage being dismissal. Serious breaches of conduct or repetitions of unsatisfactory conduct/performance may result directly in an appropriate warning, not necessarily at the first stage. Cases of gross misconduct could result directly in the fourth stage, dismissal. In this case dismissal will be summary, ie with no notice.

3.1 First stage warning (verbal warning)

- If conduct/performance does not meet expected standards you will be invited, in writing, to attend a discussion with the person to whom you directly report to talk about the issue and agree action to improve the situation. The letter you receive will give you at least 48 hours' notice of the meeting and will include: the reason for the meeting; who will be present and your right to be accompanied by a colleague from within Arup.
 - The person to whom you directly report will investigate the circumstances of the incident. He/she may do this by taking statements from any available witnesses which will be available to you. You will be asked during the meeting to present any other relevant information.
 - The meeting should cover clearly:
 - a brief description of the conduct/performance to be addressed
 - reasons for the unsatisfactory conduct/performance
 - the improvement required
 - the action agreed with you to achieve this
 - the timescale within which the improvement is required to take place
 - the consequences of not achieving the necessary improvement.
 - No travel costs will be paid in connection with a colleague of your choice attending the meeting with you. During the meeting your colleague may clarify points, request clarification and take notes but, may not answer questions on your behalf.
 - The person to whom you report will conduct the meeting and your Administrator may be there to take notes.
 - If it is decided that there is a case for disciplinary action, after the meeting you will be sent a note confirming the items discussed in the meeting. You will be required to sign and return a copy of it to confirm receipt and that copy will be held in your personnel file for the period specified in the note.
- The more serious the matter the longer the warning remains in your personnel file. The warning might include sanctions such as demotion or a salary freeze, depending on the severity of the matter. Your employment record with the Partnership will be taken into account in determining any such sanctions.

3.2 Second stage warning (written warning)

- If there is no improvement within the agreed timescale or there is another instance of the unsatisfactory conduct/performance (or similar), another meeting will be held. This second stage will

follow the same format as the first stage. The person to whom you report directly may also take into account any previous warnings you have received for whatever reason and which are still current.

- Your Group Leader or equivalent may decide to attend along with, or instead of, the person to whom you report directly.
- After that meeting you may be issued with a second stage warning and/or sanctions as for a first stage warning. This will also be put in your personnel file for the duration specified in the warning.

3.3 Third stage warning (final written warning)

- If there is still no satisfactory improvement in your conduct/performance, or there is another instance of the unsatisfactory conduct/performance (or similar) or an instance of a more serious nature, a meeting will be called as for the first stage. Your Group Leader or equivalent may decide to attend along with, or instead of, the person to whom you report directly. In some instances, an appropriate member of the Human Resources Group may attend in place of either the person to whom you report directly or your Group Leader.
- If the issue to be addressed is a serious conduct issue and you are on assignment or secondment away from your home Group, you may be required to return to your home Group for the meeting. In this case, your reasonable travel expenses in doing so will be reimbursed, providing they are authorised in the usual way. The meeting will be held with your home Group Leader or equivalent.

If the meeting results in a warning being issued, your assignment may be ended with immediate effect.

After this meeting you may be issued with a third stage warning and/or sanctions as for a first stage warning. This will also be put in your personnel file for the duration specified in the warning.

3.4 Fourth stage (dismissal)

- If there is still no satisfactory improvement in your conduct/performance, or there is another instance of the unsatisfactory conduct/performance (or similar) or an instance of gross misconduct, a meeting will be called as for the first stage. Because of the serious nature of the fourth stage, your Group Leader or equivalent will be expected to attend this meeting rather than the person to whom you report directly, along with a senior member of the Human Resources Group.
- In serious cases, particularly of gross misconduct, you may be suspended on full pay whilst circumstances are investigated. This period should not exceed 10 working days.
- If you are on assignment or secondment away from your home Group, you may be required to return to your home Group for the meeting. In this case, your reasonable travel expenses in doing so will be reimbursed providing they are authorised in the usual way. The meeting will be held with your home Group Leader or equivalent.
- The decision to end your employment is made jointly between your Group Leader, or equivalent, and the Human Resources Group. You will be given a letter confirming the date of dismissal, the reasons for dismissal and details of your right to appeal.
- If it is decided that the matter is one of gross misconduct, then you may be summarily dismissed, ie without notice. You will be given a letter confirming the date of dismissal, the reasons for dismissal, and details of your right to appeal.

4 For employees with less than six consecutive months' service with Arup

The firm's principles of fairness and reasonableness will apply to conduct/ performance issues which are raised with you.

During your first six months of service, your performance will be monitored and appropriate training and guidance given where needed.

You should note that you are subject to the firm's Conduct & Performance code of practice and its associated disciplinary procedure, but it will be modified such that there will be three instead of four stages to the disciplinary procedure; the second stage of the procedure will be omitted.

5 Appeal

You may appeal against any measures imposed as a result of the disciplinary procedure. An appeal must be made in writing, outlining your justification for the appeal and sent to your Human Resources Manager. This must be done within five working days of the notification of the measure to be imposed.

Your appeal will be heard within 10 working days of the receipt of the appeal, subject to postponement by mutual agreement. The appeal will be heard by a Group Leader outside the Group in which you are employed. You will be required to attend and present your case and you will be entitled to be accompanied by a colleague from within the firm.

The appeal may be upheld or rejected or an alternative disciplinary measure to that already taken may be substituted. (The decision reached is final - no further appeal will be heard.)

Whilst an appeal against dismissal is pending, the dismissal will continue and the appeal heard afterwards. If the appeal is successful and you are reinstated, your employment with the firm will be deemed to be unbroken by the dismissal and you will receive payment for all salary owed to you.

6 Responsibility of the Human Resources Group

The Human Resources Group is available to provide advice and guidance to all employees involved in issues arising from this code of practice and its associated procedure. Those investigating action under this code of practice are required to keep the Human Resources Group informed of all disciplinary matters. The Human Resources Group is responsible for overseeing any dismissal action meetings (and third stage warning meetings, where appropriate) and for hearing any appeal against measures imposed at any stage of this disciplinary procedure.

Privacy Policy

ARUP

Objectives

The firm will protect the privacy of individuals when handling any personal information and ensure the firm is compliant, as far as possible, with relevant data protection and privacy laws by adhering to the following principles:

- Be transparent about its collection, use and disclosure of personal information.
- Collect and use personal information fairly and lawfully.
- Only collect personal information that it requires and only keep it for as long as is necessary.
- Keep personal information accurate and up to date.
- Respect the privacy rights of individuals granted by privacy laws.
- Keep personal information secure.

Outcome

In meeting these objectives the firm will:

- Commit to keep abreast of all applicable data protection/privacy laws of the jurisdictions in which we operate.
- Take steps to provide appropriate training and support to ensure that all personnel are aware of our obligations under this Policy and follow our data protection procedures when handling the personal information of others.
- Implement relevant security procedures and issue guidance to staff explaining their data protection and security obligations.
- Ensure that when sharing personal information with third parties we do so only where necessary and seek assurances that the third party has adequate security procedures in place to protect such information.
- Implement clear processes for individuals to raise concerns about how the firm processes their personal information and for resolving any such concerns.
- Ensure our privacy notices are clear, accessible and give sufficient information about how we use and share personal information and where personal information can be updated or corrected.
- Delete/destroy personal information no longer needed for its original business purpose in accordance with our retention and destruction policies and procedures, unless we have a legal obligation to retain personal information for a certain period.
- Only transfer personal information outside jurisdiction to other Group companies in accordance with relevant legal requirements.

Date
May 2015

Prepared by
Clare Bristow

Approved by
Group Board