IVCC – Communication on Progress (COP) with the United Nations Global Compact

February 2021 – February 2022

Contents

1. Statement of Continued Support by CEO IVCC 2
2. Description of Actions 4
2.1. Human Rights 4
2.2. Labour 6
2.3. Environment 9
Image 1: Energy Performance Operational Ratings 9
2.4. Anti-Corruption 12

1. Statement of Continued Support by CEO IVCC

Dear stakeholders

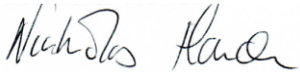
I am pleased to reaffirm IVCC's support to the United Nations Global Compact and its Ten Principles in the areas of Human Rights, Labour, Environment and Anti-Corruption.

IVCC is a Group Member of theiary of the Liverpool School of Tropical Medicine (LSTM) and through a service level agreement, contracts in a range of services and policies from the LSTM Group. Unless specified, IVCC adopts and enforces all LTSM Group policies and procedures covered in this statement.

For a full second year and as for many organizations, our Communication on Progress update comes in the time of continued disruption caused by the COVID-19 pandemic, through which our colleagues and partners have continued to work tirelessly to advance global health. We are proud of their efforts and pleased to communicate their achievements that support the UN Global Compact in this document.

We look forward to continuing to support the United Nations in its efforts to create a more socially and economically inclusive global marketplace and advance the collective goals of international cooperation, peace, and development.

Kind regards



Dr Nick Hamon, CEO IVCC

The Ten Principles of the UN Global Compact

Human Rights

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: make sure that they are not complicit in human rights abuses.

Labour

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4: the elimination of all forms of forced and compulsory labour;

Principle 5: the effective abolition of child labour; and

Principle 6: the elimination of discrimination in respect of employment and occupation.

Environment

Principle 7: Businesses should support a precautionary approach to environmental challenges;

Principle 8: undertake initiatives to promote greater environmental responsibility; and

Principle 9: encourage the development and diffusion of environmentally friendly technologies

Anti-Corruption

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

2. Description of Actions

2.1. Human Rights

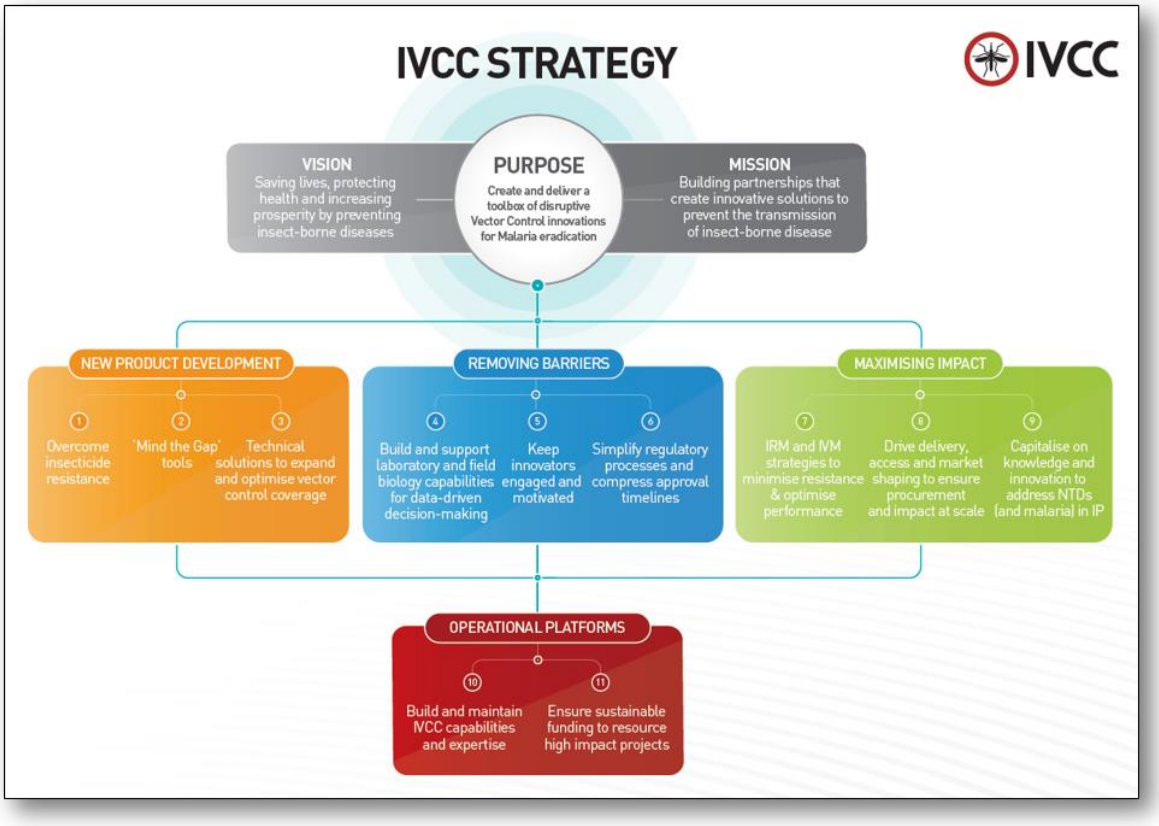
Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: make sure that they are not complicit in human rights abuses.

IVCC's Vision is to save lives, protect health and increase prosperity by preventing insect-borne diseases. We do this by building partnerships that create innovative solutions to prevent the transmission of insect-borne disease. The outputs and outcomes of our work most closely support Article 25 of the Universal Declaration of Human Rights, focusing on health.

Our strategy aims to deliver effective tools to control malaria-transmitting by mosquitoes through the discovery of chemistry with which to develop new Indoor Residual Spraying (IRS), Long-Lasting Insecticidal Nets (LLINs) and outdoor biting interventions to kill pyrethroid resistant mosquitoes.

This work is built around a number of workstreams set out below:



We continue to recognise our important role in safeguarding vulnerable children and adults in all aspects of our mission. Safeguarding training is included in our corporate induction and all

colleagues are required to complete our online Introduction to Safeguarding course as well as sign our Code of Conduct policy.

Through our parent organisation, IVCC has a 'concern' reporting system, known as "Freedom to Speak Up". We aim to instil an open culture of speaking up about concerns in order to improve the safety, security and wellbeing of those who come into contact with us, as well as that of our staff and other representatives. Engendering a positive speak up culture allows us to identify and improve our understanding of our risk environment and take appropriate action.

IVCC actively encourages staff and other representatives to report any issues of concern so that they can be investigated and addresses quickly and appropriately. The portal is hosted externally to ensure the complete confidentiality of its users. The signposted categories of areas of concern are as follows:

- Safeguarding
- Staff conduct, behaviour and wellbeing
- Data Protection Concerns
- Research Integrity

During the Communication on Progress reporting period, we have, through our parent LSTM, we have continued our systematic review of our key people policies, including Dignity at Work, Disciplinary and Grievance, to further support a culture of fairness and mutual respect.

2.2. Labour

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4: the elimination of all forms of forced and compulsory labour;

Principle 5: the effective abolition of child labour; and

Principle 6: the elimination of discrimination in respect of employment and occupation.

IVCC is committed to be an employer of choice, with an organisational culture which welcomes all, respects, and values differences and ensures that everyone can fully participate in employment and research. In late 2020 IVCC launched its new organisational Values following consultation across the business. These are:

We recognise our obligation to prevent slavery and human trafficking and are committed to endeavouring to ensure that there is no modern slavery or human trafficking in our supply chains or in any part of our business. IVCC strives to work with suppliers or supplier's sub-contractors (the supplier) who treat their workers with dignity and respect, adhere to applicable laws and regulations, and make their products or provide services or works in an environmentally sustainable manner. Through our parent LSTM, IVCC request our suppliers to respect the principles of our Supplier Code of Conduct and adopt practices which comply with it.

Colleagues at IVCC are free to join a trade union and may be accompanied to formal HR meetings by a trade union representative. Our colleagues are represented by a range of different unions and professional bodies. IVCC, through its parent LSTM participates in a national collective bargaining exercise relating to staff pay.

IVCC is committed to opportunities for career progression and development. In the past year we have, with the support of LSTM HR, implemented a new and comprehensive career ladder strategy which supports the development of all staff though the organisation.

We have sought to engage with colleagues on important issues and hold twice weekly all staff virtual meetings and have the opportunity to join and participate in LSTM townhall meetings to discuss a broad range of topics, including work-life balance and flexible working. Increased homeworking due to COVID-19 has given IVCC and our colleagues a new perspective on Agile Working options, and as a result a working group with the LSTM Group has been set up to create a long-term framework for institutional and individual benefit.

Across the LSTM Group, which IVCC is part, townhall meetings have been held by colleagues to discuss important issues such as community engagement, LGBTQ+ concerns and LSTM's Group environmental impact, and these led to the establishment of the LGBTQ+ staff network and an initiative to offer work experience opportunities. 2020 also saw the creation and launch of our BAME staff-led network.

In 2020 IVCC, in partnership with LSTM established its Stakeholder Engagement Group, to look for improved ways of engaging and collaborating with local, regional and national stakeholders

IVCC has a representative on LSTM's Equality and Diversity Committee, co-chaired by the Director of the School and the Global Director of HR. IVCC published its E&D strategy in 2020 and all staff have undertaken enhanced E&D training.

Through LSTM, IVCC is also supports the Athena SWAN framework to guide our gender equality work. The framework aims to support and transform gender equality within higher education and research. The LSTM Group currently holds three bronze awards (two faculty and one institutional level) and are in the process of self-assessment for submission of an institutional level bid for a silver award in April 2022.

Following colleague feedback, the LSTM HR team has undertaken a full review of all fixed-term contracts and as a result of this, over 90 people transferred to permanent contracts throughout 2019-20. IVCC is also undertaking a similar process across its staff. Whilst we continue to operate within the parameters of fixed term funding in many cases, we are committed to using fixed term contracts only where necessary.

COVID-19 has posed unprecedented challenges for IVCC and our staff. We have put the wellbeing of our colleagues at the heart of actions and embedded equality and diversity in our COVID-19 response. We recognise that COVID-19 will have affected our colleagues differently and as well as providing support for working through the pandemic, we have amended our Career Track, appointment, promotion and pay review processes to consider the longer-term impact on colleagues and their productivity.

During the period of lockdown, the use of our building changed dramatically, and as such our requirements for cleaning also altered. We worked closely with our cleaning contractor to understand the options available to us. Contract termination would have led to redundancies for all staff on the contract, and so, to avoid this the LSTM Group worked with the contractor to redefine rooms cleans and make the most of the contractual hours. This resulted in deep cleans of all areas and increased cleaning of regularly used areas to obtain optimum value from the agreed contract.

This meant that the contractor’s staff were able to retain their jobs and work safely in keeping our buildings clean and COVID secure throughout the period of lockdown.

2.3. Environment

Principle 7: Businesses should support a precautionary approach to environmental challenges;

Principle 8: undertake initiatives to promote greater environmental responsibility; and

Principle 9: encourage the development and diffusion of environmentally friendly technologies.

The LSTM Group, of which IVCC is a member, is fully committed to operating in an environmentally friendly and sustainable manner. To support our commitment, a new Environmental Policy was implemented in 2020 across the Group and all refurbishment projects now incorporate environmental and/or energy improvements whenever practicable, such as replacement windows, improved roof insulation, LED lighting or improved BMS controls.

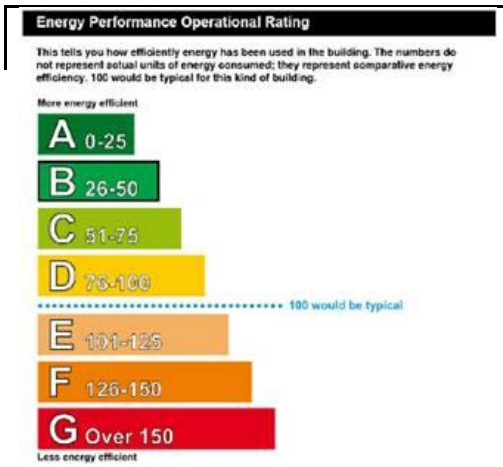
The LSTM Group Investment Policy takes a socially responsible and ethical approach to all investments. The policy states that our Fund Managers should not knowingly engage with organisations associated with armaments to the military, that contravene human rights, engage in workforce exploitation, discrimination or other conduct that is prohibited under the Equality Act 2010, or are involved in the manufacture or sale of tobacco products or fossil fuels. LSTM completely divested from fossil fuels companies during 2020.

The Estates Team undertakes regular and routine servicing to all its plant and equipment to ensure that it operates efficiently and effectively. Enhanced servicing and cleaning of the air conditioning systems, including cleaning filters more often and spraying coils with anti-bacterial spray has also been introduced as a result of COVID 19. During the COVID 19 pandemic the Estates Team also took the opportunity to close down plant and equipment wherever possible, to reduce energy consumption and wear and tear on plant operating unnecessarily.

As can be seen from the Display Energy Certificates below, we are reducing our energy performance operational ratings in our original school buildings as a result of introducing the above improvements.

Image 1: Energy Performance Operational Ratings

The score represents comparative energy efficiency, the lower the score, the more efficient the building is.



Energy Performance Operational Rating				
Year	**CTID Building**	**Original School Buildings**	**Wolfson Building (part occupied by IVCC)**	**LLSA**
2020	**86**	**39**	**48**	**197**
2019	**86**	**39**	**48**	**200**
2018	**93**	**41**	**47**	**n/a**

2017	**91**	**75**	**43**	**n/a**

As from October 2020, all LSTM buildings, including Wolfson where IVCC is based, are now supplied with 100% certifiable clean renewable electricity.

The LSTM Group recycles at source, and the following demonstrates our continuous improvement in this area:

- In October 2017, the Group recycling about 13% of our annual waste.
- By October 2018 this had increased to about 22% of annual waste after introducing dry mixed recycling euro bins for cardboard and paper only.
- By October 2019 the Group was typically recycling about 28% of waste after introducing recycling at source (bins internally), dry mixed recycling for all waste i.e., cardboard-paper-plastics-cans etc.
- Between March 2020 and October 2020, the Group recycled 30% of the total tonnage of waste for that period.

2020 saw the establishment of an Environmental Working Group ('EWG') at across the LSTM Group, including representation from IVCC. The EWG works to enhance the LSTM Group's contribution to improving sustainable value. The group is divided into 5 subgroups, each focusing on a particular area of priority. The 5 subgroups are:

- Carbon and Travel; an employee survey has been carried out with a view to developing an action plan. This group has a cycling to work subgroup and IVCC provides facilities for colleagues who commute by bike, as well as a cycle to work scheme.
- Data Collection; currently assessing the impact of remote working on the group's environmental footprint.
- Communication and Engagement; working with the Carbon group on communicating the survey findings and converting the results into agreed actions.
- Green Working: the development of a "Green Labs" guide to deliver improvements in environmental working practices
- Strategy: long-term planning activities revisited to deliver enhanced sustainability.

The Group Estates Team has worked closely with the Procurement Team and focused on purchasing sustainable energy that represents best value for money via a flexible purchasing model. This switch has allowed the LSTM Group to switch from using brown energy to using certifiable green electric energy that is audited through the Carbon Trust.

The LSTM Group, including IVCC, works with local suppliers to ensure value is delivered to the local community whilst adhering to environmental standards. An example of this is working with a local taxi company that is using a carbon offsetting company to improve environmental performance. Our preferred suppliers adhere to the relevant required environmental standards and are asked to explain how they do this in their tender documents. Further information on our procurement processes is available in section 2.4 of this document.

Use of Vector Control tools in malaria endemic counties

IVCC supports a number of field trials sites and programmes across sub-Saharan Africa and Asia which test the efficacy of insecticides used in a range of vector control tools. In addition, IVCC works with partners to support the deployment of World Health Organisation (WHO) Pre-Qualified (PQ) listed vector control tools which support national malaria control and elimination strategies. Our work with insecticides in malaria endemic countries adheres to all WHO and country-specific guidelines for the safe use of insecticides being tested or deployed through our projects.

2.4. Anti-Corruption

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

The LSTM Group is committed to the highest standards of ethical conduct and integrity throughout its activities in the UK and overseas. LSTM and IVCC have clear statements of intent showing that we do not tolerate any form of fraud, bribery, corruption or dishonesty by its employees, agents or consultants, or by any person or body acting on its behalf.

To underpin the governance of this ethos, the LSTM Group including IVCC has in place institutional policies which are reviewed and reaffirmed each year. These policies clearly layout the organisation's statement position, explains how to recognise potential instances of fraud, bribery and corruption and what actions are needed if it is experienced. The policies are explicit in explaining that the consequences of becoming involved in such acts will constitute a serious disciplinary matter for the individual concerned and it may cause reputational damage to the organisation. LSTM and therefore IVCC reserves the right to refer alleged instances to the relevant employee disciplinary process and the police authorities.

The LSTM Group Fraud, Bribery, Corruption Policy also details broader areas of corruption such as money laundering, tax evasion, terrorism financing and aid diversion to ensure that the reader understands the wider implications of how corruption can potentially infiltrate business activities at all levels. IVCC staff work in locations all over the world and this isolation away from the main campus therefore could place them at greater risk of being exposed to corruption and unethical conduct, so the policy further explains and details the recognition of facilitation payments, gifts, cash payments etc. Examples are given to help raise awareness such as: unusual payments to third parties, unsubstantiated expenses, lack of invoice documentation so that individuals are fully aware and can recognise potential corruption activity.

The LSTM Group also has established practices on the recognition and management of conflict of interest. The policy is reviewed and reaffirmed each year, the reminder for staff to declare a potential conflict is a standard item on meeting agendas and all IVCC staff and Board of Trustee members must complete a return of their declaration each year. The Conflict of Interest Policy also covers the procurement activity with each supplier being required to declare a conflict as and when it arises.

Whistleblowing systems are set up and monitored closely, with policies detailing how to report an incident. The system ensures that the reporter can remain anonymous, if they wish to do so, to encourage the reporting of incidents and the system is clearly labelled on the LSTM internet and intranet (Sharepoint) and widely publicised at regular intervals.

The LSTM Group undertakes a rigorous due diligence on our partners and subcontractors and part of this assessment is to review the organisation's approach to corruption. We will work with our partners to ensure that they have satisfactory policies, processes and procedures in place.

<u>Freedom to Speak Up</u>

Whilst anti-corruption is not specifically signposted through our Freedom to Speak Up system (see section 2.1), being covered by the separate Whistleblowing policy, this tool is another secure avenue for IVCC staff and other representatives to raise concerns through this platform and there are robust referral mechanisms to ensure that concerns are dealt with by the appropriate specialist teams.

Procurement

LSTM's Group policies and procedures are designed to mitigate against the inherent risk of corrupt procurement activity.

The purchase value used to determine the procurement route is calculated by aggregating the forecast contract expenditure over a two-year period, or the period covered by the contract if earlier:

- For procurements in the lowest category of purchase value, the buyer has discretion to decide whether to obtain written quotations, although value for money must always be secured.
- For procurements in the middle category of purchase value, a minimum number of written quotations must be obtained and the reasoning supporting the ultimate selection decision retained.
- For procurements in the highest category of purchase value, a full tender in accordance with LSTM Group tendering procedures and, where applicable, the Public Contract Regulations 2015 must be undertaken.

The procurement thresholds are set by the LSTM Group and tailored to individual group entities, such as IVCC to ensure that the purchase value hierarchy is in line with local materiality and regional economic conditions. Under exceptional circumstances, deviations from LSTM's policies and procedures are permitted on submission and acceptance of a written justification paper and subject to approval by Senior Management at IVCC and LSTM.

The LSTM Group fosters a culture of procurement compliance through its dedicated procurement team and the development of user-friendly tools to support the procurement processes. In August 2018, the Group launched an integrated e-procurement platform that guides buyers through the complete procurement process. The system has in-built surveillance functionality and preventative controls that trigger online approval steps in line with the procurement framework. On completion of a purchase order confirmation, the e-procurement system automatically issues an order confirmation accompanied by LSTM's /IVCC's terms and conditions which include anti-corruption provisions in line with LSTM's Group Fraud, Bribery, Corruption policy.

The e-procurement platform gives users access to latest price lists from contracted suppliers. LSTM also leverages the collective bargaining power afforded through access to the North West Universities purchasing consortia frameworks.

Tendering exercises are conducted electronically with all document exchanges taking place on the LSTM Group e-Tendering portal.

The terms and conditions of LSTM's Group standard contract for the engagement of consultants was also recently updated in line with the Group's Fraud, Bribery, Corruption policy.

LSTM Supplier Code of Conduct

The LSTM Group requires approved suppliers to sign up to its Supplier Code of Conduct which covers the following areas:-

- Employment Practices
- Environmental
- Health and Safety
- Ethics and Integrity

The Ethics and Integrity section contains the following anti-corruption provisions:

- The supplier must not offer or give, any gift or consideration of any kind as an inducement or reward for doing or refraining from doing or for having done or refrained from doing, any act in relation to the obtaining of any contract with IVCC, or for showing or refraining from showing favour or disfavour to any person in relation to the Contract or any such other.
- The supplier must comply with all anti-bribery and anti-corruption laws applicable to our business, including the Bribery Act 2010 and the Prevention of Corruption Act 1889 to 1916.

LSTM's Group Supplier Code of Conduct was published in 2015 and became a prerequisite during 2019 for new purchase orders placed with suppliers. LSTM's Group e-procurement platform has enabled a more integrated approach to ensuring that Suppliers are in receipt of our up-to-date terms and conditions package with each new order confirmation.

The Supplier Code of Conduct is also published on IVCC's parent external website. IVCC reserves the right to request details of how suppliers comply with the Code and expects its suppliers to apply the principles of the Code throughout its supply chains.

Good Laboratory Practice (GLP)

GLP is a quality system concerned with the organizational process and conditions under which non-clinical health and environmental safety studies are planned, performed, monitored, recorded, archived and reported.

GLP helps to ensure the credibility and traceability of data submitted, thereby addressing the issue of non-reproducibility in many field experiments. GLP enables the testing of vector control products submitted by pesticide manufacturers. The trial data generated by GLP laboratories will be of high quality and globally acceptable for WHO prequalification or national registration of pesticides or other tools for vector control.

The GLP project was initiated by IVCC to provide the tools that enable collaborating research facilities in Africa and the UK to develop and implement a quality management system compliant with the OECD principles of Good Laboratory Practice (GLP) to obtain GLP certification.

Funding from the Bill & Melinda Gates Foundation have been made available to eight collaborating research facilities which are being supported by IVCC towards GLP certification: 3 facilities in East Africa, 4 facilities in West Africa and 1 facility, the Liverpool Insect Testing Establishment, (LITE) in the UK.

African Trial Sites

To date, three of the research facilities in Africa have been granted GLP certification by the South African National Accreditation System (SANAS): the PAMVERC–KCMUCo facility in Moshi, Tanzania and the CREC/LSHTM facility in Cotonou, Benin and in June 2021 IVCC had the pleasure of announcing that, the Ifakara Health Institute's (IHI) trials facility, headquartered in Bagamoyo, Tanzania, had been granted Good Laboratory Practice (GLP) certification. This facility is

internationally recognised for its expertise in testing new vector control products for industry, product development partnerships, and generates data for regulatory submissions, including WHO Prequalification evaluations. The remaining facilities are progressing well towards full GLP compliance and are expected to become GLP certified during the next 12-24 months

Liverpool Insect testing Establishment

MHRA accepted LITE (Liverpool Insect Testing Establishment) Liverpool School of Tropical Medicine as a provisional member to the GLP MA programme from 23 March 2020.