

FINAL ASSESSMENT

ANTONOV

The following pages contain the detailed scoring for your company based on public information.

The following table represents a summary of your scores:

Topic	Number of questions	% score based on public information
Leadership, Governance and Organisation	10	0%
Risk Management	5	0%
Company Policy and Codes	12	0%
Training	5	0%
Personnel and Helplines	7	0%
Total	39	0%

TI has found no evidence that the company is involved in offsets and has therefore removed the two relevant questions (A13a and A13b).

A1:

Does the company publish a statement from the Chief Executive Officer or the Chair of the Board supporting the ethics and anti-corruption agenda of the company?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company publishes a statement from the President or Director General supporting the ethics and anti-corruption agenda of the company.

References:

Public:
NA

A2:

Does the company's Chief Executive Officer or the Chair of the Board demonstrate a strong personal, external facing commitment to the ethics and anti-corruption agenda of the company?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company's President or Director General demonstrate a strong personal, external-facing commitment to the ethics and anti-corruption agenda of the company.

References:

Public:
NA

A3:

Does the company's Chief Executive Officer demonstrate a strong personal, internal-facing commitment to the ethics and anti-corruption agenda of the company, actively promoting the ethics and anti-corruption agenda at all levels of the company structure?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company's Director General demonstrates a strong personal, internal-facing commitment to the ethics and anti-corruption agenda of the company.

References:

Public:
NA

A4:

Does the company publish a statement of values or principles representing high standards of business conduct, including honesty, trust, transparency, openness, integrity and accountability?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company publishes a statement of values or principles representing high standards of business conduct. TI notes that the company publishes a Code on its website that refers to honesty and openness with employees, co-developers and suppliers. However, these values are not explained and there is no reference to trust, transparency, integrity, or accountability.

References:

Public:

TI notes:

Company website: Code

'Our Principles

We aspire unceasingly to perfection, have wholesome practicalness.

All workers of Antonov are one team and one family

We motivate co-designers and suppliers to use modern effective technical decisions and technologies.'

'Honest, open style of communication with workers, co-designers, customers, suppliers'.

<http://www.antonov.com/about/code>

Company website: Кодекс ГП "Антонов"

НАШИ ЦЕННОСТИ

Творческое наследие и авторитет **О.К. Антонова**.
Традиции коллектива единомышленников авиационной профессии.
Опыт, знания, энтузиазм, способность взаимодействовать и инициативно работать в команде
Честный, открытый стиль общения с сотрудниками, соразработчиками, заказчиками,
поставщиками.
Чувство личной ответственности за успех предприятия.

‘Our values

Honest, open style of communication with public employees, co-developers, suppliers”

НАШИ ПРИНЦИПЫ

Непрестанное стремление к совершенству, здоровый прагматизм.
Доброжелательное отношение к успехам и достижениям сотрудников.
Все работники «АНТОНОВА» - одна команда и одна семья.
Побуждение соразработчиков и поставщиков к применению современных эффективных
технических решений и технологий.

‘Our principles

Relentless pursuit of excellence, a healthy pragmatism.

A friendly attitude towards the success and achievements of employees.

All workers of Antonov are one team and one family.

We prompt co-designers and suppliers to use modern effective technical solutions and technologies.’

<http://www.antonov.com/about/code?lang=ru>

A5:

Does the company belong to one or more national or international initiatives that promote anti-corruption or business ethics with a significant focus on anti-corruption?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company belongs to one or more national or international initiatives that promote anti-corruption or business ethics with a significant focus on anti-corruption.

References:

Public:
NA

A6:

Has the company appointed a Board committee or individual Board member with overall corporate responsibility for its ethics and anti-corruption agenda?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has appointed a Board committee with overall corporate responsibility for its ethics and anti-corruption agenda. TI notes that as the company is a 'Unitary Enterprise' and functions as a State Owned Enterprise it does not have a Board of Directors. Therefore, TI examined the responsibilities of senior management members, but found no evidence that this responsibility is delegated.

References:

Public:

TI notes:

A Corporate Governance Assessment of Ukraine's State-owned Aviation Sector – The Case of Antonov (November 2012), p.14:

'Unitary Enterprises do not have a board of directors – each unitary enterprise has a Director-General who is appointed under a performance contract and reports directly to the ownership agency.'

(p.32): 'Antonov is a unitary enterprise. It has a Director-General who is also the Designer General of the company'.

www.oecd.org/investmentcompact/AntonovEN.pdf

A7:

Has the company appointed a person at a senior level within the company to have responsibility for implementing the company's ethics and anti-corruption agenda, and who has a direct reporting line to the Board?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has appointed a person at a senior level within the company to have responsibility for implementing the company's ethics and anti-corruption agenda.

References:

Public:
NA

A8:

Is there regular Board level monitoring and review of the performance of the company's ethics and anti-corruption agenda?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has regular Board level monitoring and review of the performance of the company's ethics and anti-corruption agenda. TI notes that as the company is a 'Unitary Enterprise' and functions as a State Owned Enterprise it does not have a Board of Directors. Therefore, TI examined the responsibilities of senior management members, but found no evidence that this responsibility is delegated.

References:

Public:

TI notes:

A Corporate Governance Assessment of Ukraine's State-owned Aviation Sector – The Case of Antonov (November 2012), p.14:

'Unitary Enterprises do not have a board of directors – each unitary enterprise has a Director-General who is appointed under a performance contract and reports directly to the ownership agency.'

(p.32): 'Antonov is a unitary enterprise. It has a Director-General who is also the Designer General of the company'.

www.oecd.org/investmentcompact/AntonovEN.pdf

A8(a):

Is there a formal, clear, written plan in place on which the review of the ethics and anti-corruption agenda by the Board or senior management is based, and evidence of improvement plans being implemented when issues are identified?

Score:

0

Comments:

Based on public information, there is no readily available evidence of a formal, clear, written plan in place on which the review of the ethics and anti-corruption agenda by the Board or senior management is based, and no evidence of improvement plans being implemented when issues are identified.

References:

Public:
NA

A9:

Does the company have a formal process for review and where appropriate update its policies and practices in response to actual or alleged instances of corruption?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a formal process for review and where appropriate updates its policies and practices in response to actual or alleged instances of corruption.

References:

Public:
NA

A9(a):

Does the company have a formal anti-corruption risk assessment procedure implemented enterprise-wide?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a formal anti-corruption risk assessment procedure implemented enterprise-wide.

References:

Public:
NA

A10:

Does the company have a formal anti-corruption risk assessment procedure for assessing proposed business decisions, with clear requirements on the circumstances under which such a procedure should be applied?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a formal anti-corruption risk assessment procedure for assessing proposed business decisions, with clear requirements on the circumstances under which such a procedure should be applied.

References:

Public:
NA

A11:

Does the company conduct due diligence that minimises corruption risk when selecting or reappointing its agents?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company conducts due diligence that minimises corruption risk when selecting or reappointing its agents.

References:

Public:
NA

A12:

Does the company have contractual rights and processes for the behaviour, monitoring, control, and audit of agents with respect to countering corruption?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has contractual rights and processes for the behaviour, monitoring, control, and audit of agents with respect to countering corruption.

References:

Public:
NA

A13:

Does the company make clear to contractors, sub-contractors, and suppliers, through policy and contractual terms, its stance on bribery and corruption and the consequences of breaches to this stance?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company makes clear to contractors, sub-contractors, and suppliers, through policy and contractual terms, its stance on bribery and corruption and the consequences of breaches to this stance.

References:

Public:
NA

A13(a):

Does the company explicitly address the corruption risks associated with offset contracting?

Score:

NA

Comments:

Based on public information, there is no readily available evidence that the company engages in offset contracting.

References:

Public:
NA

A13(b):

Does the company conduct due diligence that minimises corruption risk when selecting its offset partners and offset brokers?

Score:

NA

Comments:

Based on public information, there is no readily available evidence that the company engages in offset contracting.

References:

Public:
NA

A15:

Does the company have an anti-corruption policy that prohibits corruption in its various forms?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has an anti-corruption policy that prohibits corruption in its various forms.

References:

Public:
NA

A16:

Is the anti-corruption policy explicitly one of zero tolerance?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has an anti-corruption policy that is explicitly one of zero tolerance.

References:

Public:
NA

A17:

Is the company's anti-corruption policy easily accessible to Board members, employees, contracted staff and any other organisations acting with or on behalf of the company?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company's anti-corruption policy is easily accessible to Board members, employees and third parties.

References:

Public:
NA

A17(a):

Is the company's anti-corruption policy easily understandable and clear to Board members, employees and third parties?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company's anti-corruption policy is easily understandable and clear to Board members, employees and third parties.

References:

Public:
NA

A18:

Does the anti-corruption policy explicitly apply to all employees and members of the Board?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the anti-corruption policy explicitly applies to all employees and Board members.

References:

Public:
NA

A20:

Does the company have a policy on potential conflicts of interest, and does it apply to both employees and board members?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a policy on potential conflicts of interest.

References:

Public:
NA

A21:

Does the company have a policy for the giving and receipt of gifts to ensure that such transactions are bona fide and not a subterfuge for bribery?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a policy for the giving and receipt of gifts to ensure that such transactions are bona fide and not a subterfuge for bribery.

References:

Public:
NA

A22:

Does the company's anti-corruption policy include a statement on the giving and receipt of hospitality that ensures that such transactions are bona fide and not a subterfuge for bribery?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a policy for the giving and receipt of hospitality to ensure that such transactions are bona fide and not a subterfuge for bribery.

References:

Public:
NA

A23:

Does the company have a policy that explicitly prohibits facilitation payments?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a policy that explicitly prohibits facilitation payments.

References:

Public:
NA

A24:

**Does the company prohibit political contributions, or regulate such contributions in order to prevent undue influence or other corrupt intent?
Does the company record and publicly disclose all political contributions?**

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company prohibits political contributions, or regulates such contributions in order to prevent undue influence or other corrupt intent.

References:

Public:
NA

A25:

Does the company have a clear policy on engagement in lobbying activities, in order to prevent undue influence or other corrupt intent, and discloses the issues on which the company lobbies?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a policy on engagement in lobbying activities, in order to prevent undue influence or other corrupt intent, or discloses the issues on which the company lobbies.

References:

Public:
NA

A25(a):

Does the company prohibit charitable contributions, or regulate such contributions in order to prevent undue influence or other corrupt intent?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company prohibits charitable contributions, or regulates such contributions in order to prevent undue influence or other corrupt intent.

References:

Public:
NA

A26:

Does the company provide written guidance to help Board members and employees understand and implement the firm's ethics and anti-corruption agenda?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company provides written guidance to help Board members and employees understand and implement the firm's ethics and anti-corruption agenda.

References:

Public:
NA

A27:

Does the company have a training programme that explicitly covers anti-corruption?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a training programme that explicitly covers anti-corruption.

References:

Public:
NA

A28:

Is anti-corruption training provided in all countries where the company operates or has company sites?

Score:

0

Comments:

Based on public information, there is no readily available evidence that anti-corruption training is provided in all countries where the company operates or has company sites.

References:

Public:
NA

A29:

Does the company provide targeted anti-corruption training to members of the Board?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company provides targeted anti-corruption training to members of the Board.

References:

Public:
NA

A30:

Does the company provide tailored ethics and anti-corruption training for employees in sensitive positions?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company provides tailored ethics and anti-corruption training for employees in sensitive positions.

References:

Public:
NA

A31:

Does the company have a clear and formal process by which employees declare conflicts of interest?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a clear and formal process by which employees declare conflicts of interest.

References:

Public:
NA

A32:

Is the company explicit in its commitment to apply disciplinary procedures to employees, Directors and Board members found to have engaged in corrupt activities?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company is explicit in its commitment to apply disciplinary procedures to employees, Directors and Board members found to have engaged in corrupt activities.

References:

Public:
NA

A33:

Does the company have multiple, well-publicised channels that are easily accessible and secure, to guarantee confidentiality or anonymity where requested by the employee (e.g. web, phone, in person), to report concerns or instances of suspected corrupt activity?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has multiple, well-publicised channels that are easily accessible and secure, to guarantee confidentiality or anonymity where requested by the employee (e.g. web, phone, in person), to report concerns or instances of suspected corrupt activity.

References:

Public:
NA

A33(a):

Are the whistleblowing channels available to all employees in all geographies?

Score:

0

Comments:

Based on public information, there is no readily available evidence that whistleblowing channels are available to all employees in all geographies.

References:

Public:
NA

A33(b):

Does the company have formal and comprehensive mechanisms to assure itself that whistleblowing by employees is not deterred, and that whistleblowers are treated supportively?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has formal and comprehensive mechanisms to assure itself that whistleblowing by employees is not deterred, and that whistleblowers are treated supportively.

References:

Public:
NA

A34:

Does the company have well-publicised resources available to all employees where help and advice can be sought on corruption-related issues?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has well-publicised resources available to all employees where help and advice can be sought on corruption-related issues.

References:

Public:
NA

A35:

Is there a commitment to non-retaliation for bona fide reporting of corruption?

Score:

0

Comments:

Based on public information, there is no readily available evidence that the company has a commitment to non-retaliation for bona fide reporting of corruption.

References:

Public:
NA

Information Sources:

Company website:

www.antonov.com

A Corporate Governance Assessment of Ukraine's State-owned Aviation Sector – The Case of Antonov (November 2012):

www.oecd.org/investmentcompact/AntonovEN.pdf