

## **Ethical Guidelines and Basic Values**

## Foreword

We all encounter ethical challenges in our daily work - vis-à-vis colleagues and in our contact with the authorities and clients. We are faced with specific issues on which we must make difficult decisions.

IFE wishes to have a company culture that enables us to discuss ethical issues openly and in which discussing such concerns and offering constructive criticism is accepted.

IFE's ethical guidelines describe the Institute's company culture as we want it to be. They are intended to provide us with both guidance in our daily work and help when making difficult decisions. In addition, IFE's Ethical Council will contribute towards raising awareness concerning ethical issues and towards providing advice on such problems.

Although ethics are a management responsibility, we are all personally responsible for ensuring good ethical conduct.

Kjeller, 01 March 2012

  
Eva S. Dugstad

President

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# **1 Vision, Nature of Objectives and Basic Values**

(from IFE's Strategy for the period 2010-2015)

IFE shall be a leading international energy research Institute.

## **1. Purpose**

In an ideal and socially useful manner, IFE shall conduct research and development in the area of energy and other areas in which IFE's competence is particularly suitable.

## **1.2 Nature of Objectives and Basic Values**

IFE's activities shall be characterized by quality, integrity and openness. Credibility and honesty represent important values for the Institute. As a research institute we seek a good balance between the secure and conservative and the innovative and creative.

IFE's character and basic values can be summarized as follows:

- IFE always places safety, health and the environment first and shall comply with all statutory and licensing requirements. This is directive for IFE's activity
- IFE's activity shall be research-based. New knowledge shall be produced that is primarily aimed at the achievement of specific, practical goals and applications
- IFE's activity shall maintain high professional quality and be able to compete with the best in the national and international arena
- IFE shall be an independent and unbiased research institution that presents fact-based knowledge

## **1.3 Overall Objectives**

IFE shall

- develop profitable, safe and environmentally friendly technology for petroleum exploitation
- develop technology for renewable energy production and solutions for efficient energy consumption and cost-effective CO<sub>2</sub> management
- maintain and further develop competitive competence within nuclear safety and technology
- utilize the Institute's special competence within the field of safety technology in new markets
- conduct neutron-based basic research in physics

## **1.4 HSE Vision and Overall Objectives**

IFE's vision is to prevent all work-related hazards to health and the environment and to avoid material losses.

The overall HSE objectives are

- to protect IFE's employees, equipment and property against accidents and damage
- to ensure a sound working environment and health of employees
- to satisfy the authorities' requirements for protection of the external environment with a clear margin
- to meet all official HSE requirements and conditions on IFE's activities

## **1.5 Quality Objectives**

- The Institute's activities are safeguarded through learning, continuous improvement and high quality requirements
- Our goal is to prevent non-conformance at all times. We attain the desired quality of products and services by focusing on planning and execution and by controlling processes at all levels in an appropriate and efficient manner
- By measuring and analysis we illustrate both successes and the potential for improvement and incorporate this experience into new planning processes

## 2 The Employees

Employees are IFE's most important resource.

IFE's employees shall be professional, competent in their field and of high integrity, and shall conduct themselves with openness, respect and honesty.

IFE's managers are the initiators of professional and personal development. They must protect the interests of the employees, the Institute and the customers.

IFE's employees

- build their work on communication and cooperation
- treat everyone with respect and equality, regardless of gender, age, race, nationality, beliefs and sexual inclination
- respect others' value principles, and expect to be respected themselves
- promote their own and others' health, safety and working environment and give notification if health, safety or the working environment are threatened

IFE's managers have a particular responsibility for

- acting as good examples for their co-workers
- providing information, and facilitating and creating enthusiasm
- delegating tasks and releasing resources
- setting requirements and providing support and feedback
- bringing attention to and focusing on the work of the individual

### 2.1 Company Culture

IFE shall have an open company culture. The employees shall act in a generous and inclusive manner vis-à-vis colleagues and shall oppose bullying, teasing and harassment.

IFE's employees

- take part in discussions and initiatives that promote development and improvements in the organization
- contribute to decision-making processes and respect decisions
- attempt to resolve problems or conflicts as quickly as possible at the lowest possible level in the organization
- show moderation when entertaining IFE's clients

## 2.2 Loyalty

IFE's employees shall make themselves familiar with and follow IFE's strategy, values, rules and guidelines. The immediate superior shall be notified of anything that may undermine an employee's ability to be loyal or to be perceived as loyal in individual cases.

IFE's employees

- do not pass on confidential information to unauthorized persons
- handle IFE's property professionally, with respect and caution
- do not borrow IFE's property for private purposes without obtaining approval
- do not use IFE's property for private purposes if this hinders or restricts colleagues' opportunities to carry out their own tasks

IFE's employees are always regarded as the Institute's representatives when they travel and when they perform assignments outside IFE's area, and they

- show moderation with alcohol
- abstain from purchasing sexual services

## 2.3 Moral Independence

IFE's employees shall not participate in or attempt to influence a decision when factors exist that may undermine confidence in the independence of the person concerned. The immediate superior shall be informed if a conflict of impartiality can potentially arise.

IFE's employees

- neither give nor accept gifts or services that can potentially influence decision-making. At the same time, however, local customs/etiquette and gestures of courtesy are to be observed.
- do not take part in trips or events paid for by suppliers, cooperative partners or competitors without first agreeing this with IFE
- do not assume positions or research assignments outside the Institute without first agreeing this with IFE
- do not have major ownership shares in enterprises that have client or supplier relationships with IFE or IFE's clients without first agreeing this with IFE
- do not participate in the handling of issues that are of importance to themselves or to a spouse/cohabitant/close relation if the individual can be regarded as having a prominent personal or financial interest in the case
- do not have a spouse/cohabitant/close relation as their immediate superior

## 2.4 Relations with the Media

IFE's interface with the media is the responsibility of the management and shall be channelled through those appointed by management to make statements publicly. Enquiries from the media shall be forwarded to IFE's Head of Information.

IFE's employees

- take part in social debate, expressing their own opinions in all areas
- give internal notification if they are considering using an IFE title or a position at IFE
- exercise caution about using their professional authority beyond their own field

### **3 Authorities, Cooperative Partners, Customers and Suppliers**

IFE has a tradition of successful national and international cooperation. The Institute shall run its activities in a manner that inspires confidence on the part of its cooperative partners, customers and suppliers. All cooperative agreements and assignment and purchase contracts into which IFE enters shall satisfy the Institute's ethical guidelines and all other policy documents.

IFE's employees

- are professional and reliable
- deliver results that accord with the agreed quality, time and price
- contribute to building up good long-term relationships

IFE has a close and open cooperation with the authorities.

This means that IFE's employees

- ensure that the enterprise as a minimum fulfils the requirements regarding laws and concessions
- regard national and international supervision as a resource
- endeavour to choose the best solutions in questions of safety and security
- do not export technology or materials that could be used to strengthen another nation's military capacity without an export permit from the Ministry of Foreign Affairs
- do not do business with countries with which the Ministry of Foreign Affairs has banned trade

#### **3.1 Corruption**

Corruption includes bribery as well as actions aimed at exerting influence. IFE is opposed to all forms of corruption. It is forbidden in all situations to bribe or to accept bribes from clients, suppliers, authorities or other interested parties that could be regarded as contributing to influencing IFE's attitudes. If an IFE employee is offered anything that can be perceived as a bribe, the matter must be reported to his/her immediate superior without delay.

It is also forbidden to make use of consultants, agents or other intermediaries to channel payment to any of the interested parties mentioned.

The rules may be waived if there is a risk for the safety, health or life of the person involved or of others. The immediate superior shall be notified as quickly as possible.

Before IFE hires any consultant or agent, an investigation shall be made to ensure that the reputation and competence of the person in question are satisfactory, and a written agreement shall be entered into. Actual work performed shall always be documented as the basis for payment.

### **3.2 Accounting**

All the data that are to be inserted into the accounts system shall be submitted and registered correctly. The accounts shall be reported in compliance with laws and regulations, including Norwegian accounting standards.

## **4 Research Principles**

IFE influences the development of society. IFE shall be a respected member of the international research world. All IFE's research activities shall be conducted with high integrity and scientific quality, shall be based on recognized research methodology, and shall comply with national and international standards.

IFE's employees

- strive to deserve the confidence of Norwegian and international communities
- seek new ideas and challenge existing boundaries
- contribute qualified knowledge within their own fields
- endeavour to attain safe, environmentally-friendly and cost-effective solutions
- do not become involved in activities that compromise IFE's basic values

### **4.1 Research Practice**

Scientific research is based on trust. Research shall not conceal, distort or falsify anything - be it in planning, conducting or reporting. Each individual is responsible for exercising appropriate and veracious research practices. However, dishonesty must be distinguished from errors in research: dishonesty entails a conscious will to distort reality.

IFE's employees

- take personal responsibility for not accepting dishonest research practices - neither on their own behalf nor on the behalf of others
- do not change research results, even though others may exert pressure on them to do so
- respect the research results achieved by others
- practise good referential ethics and do not take credit for results achieved by others
- discuss any cases of doubt with their immediate superior

IFE shall not take on research assignments that represent a breach of general morals and respect for the dignity of the individual.

IFE's employees

- have joint responsibility for results - both with regard to avoiding harm and to promoting general welfare

## 4.2 Publication of Scientific Results

Publication of IFE's research results is desirable to the greatest possible extent. All employees shall respect others' contributions and follow standards for authorship and collaboration.

IFE's employees

- list all sources used
- list all co-authors

At IFE legitimate authorship and co-authorship are defined by three criteria which entail that IFE's employees

- have made a significant contribution to at least two of four components in a typical research project:
  - concept or design
  - data collection and the processing of data
  - analysis and interpretation of data
  - written formulation of substantial parts of the work
- have critically reviewed various drafts and approved the final version
- are capable of defending the work in its entirety (although not necessarily all the technical details)

Contributions to a research project that do not qualify for authorship are acknowledged in the epilogue.

## **5 The Ethical Council**

IFE's Ethical Council shall give guidance and advice to IFE's management and employees on ethical questions. The operations of the Council shall not include assuming responsibility for any follow-up in IFE's organization.

Founding its work on IFE's basic values and ethical guidelines, the Ethical Council shall help to enhance general awareness of ethical dilemmas, thus promoting good ethical conduct from all employees.

### **5.1 Appointment**

The Ethical Council consists of five members who are appointed by IFE's Board for a period of two years:

- IFE's president
- one representative from IFE's management
- two representatives from IFE's employees
- one external representative, preferably an expert in ethical matters

The Council is led by IFE's president.

### **5.2 Tasks**

IFE's Ethical Council has the following tasks

- to maintain and develop IFE's ethical guidelines
- to advise on potential improvements or measures aimed at avoiding non-conformance
- to draw attention to and give advice on ethical issues
- to take up questions concerning ethical issues that cannot be resolved in the line organization - at the request of others or on its own initiative
- to provide advice on other aspects related to ethical issues in IFE's activities.

### **5.3 Administrative Processing**

Enquiries to the Ethical Council must be made in writing through IFE's representatives on the Council.

The Ethical Council normally meets four times a year, but can also be called in to additional meetings as required.

The leader of the Council is responsible for preparing and convening the Council's meetings and for following up the various matters. Minutes are taken of the Council's meetings. A brief report on the Council's work is prepared annually for IFE's Board and employees. Minutes and reports shall

anonymously document cases the Council has considered in a manner that allows everyone at IFE to learn from these documents. This can be done by using examples that shed light on the issue in question.

The Ethical Council shall handle as confidential all information that can be linked to individuals.

## 6 Procedures for Whistle-blowing/Internal Notification

IFE wants to have an open company culture where giving internal notification of any matter is safe and constitutes an aid to remedying censurable conditions. Notification entails passing on information about such conditions to a person who can take action.

Contraventions of legislation or of IFE's internal rules constitute censurable conditions. The employer is obliged to report criminal offences and any matters that place life and health at risk.

### 6.1 Who We Make Internal Notification to

Appropriate notification at IFE takes place according to the following procedures:

1. Responsible superior: All employees can report matters to their immediate superior and within their line organization, *or* to the person or body that has particular responsibility for the matter for which notification is given:

- Matters concerning personnel: to the personnel office, the employees' elected representatives or the occupational health service
- HES: to the Chief Safety Representative, to members of WEC or the occupational health service
- Security matters: to IFE's Security Committee
- Quality assurance: to IFE's Head of Quality
- Financial irregularities, non-compliance with tax rules or rules applying to corruption: til IFEs Finance Director

2. President/Chairman of the Board: If the notification does not obtain any reaction or feedback in the line organization or from the body responsible.

3. External notification: IFE has made provisions for good internal notification procedures. Nonetheless, an individual always has the right to go to a public supervisory body as a last resort.

All notifications must be made in writing.

### 6.2 Notification Follow-up

IFE's management ensures that all matters notified are followed up. Censurable conditions must be rectified. The person making the notification must receive a written reply within two weeks.

If the criticism proves to be unfounded or to be based on a misunderstanding, the person making the notification must be given a proper explanation. Reporting censurable conditions shall not have negative consequences for those giving notification.

The accused party must be allowed access to the content of the notification and be given the opportunity to make a statement. IFE's management has a particular responsibility for taking care of individuals who have been exposed to unfounded criticism.

### **6.3 Anonymity and Confidentiality**

Internal notification should be given openly to ensure both the best possible administrative procedure in the case and a better outcome for all parties. Depending on the nature of the matter, the topic of the notification and any sanctions imposed are to be kept confidential. Notification can nonetheless be made anonymously, but must then be channelled through the safety representative or the employees' elected representative.

## 7 References

The following national and international standards, guidelines and legislation have been used in establishing IFE's ethical guidelines.

- Norwegian Act of 17 June 2005 no. 62: Act relating to working environment, working hours and employment protection, etc. (Working Environment Act)
- Norwegian Act of 10 February 1967 no. 00: Act relating to procedure in cases concerning the public administration (Public Administration Act)
- Norwegian Act of 19 May 2006 no. 16: Act relating to the right of access to documents held by public authorities and public undertakings (Freedom of Information Act)
- Norwegian Act of 15 June 2001 relating to foundations (the Foundations Act)
- Norwegian Act of 20 March 1998 no. 10: Act relating to preventive security services (Security Act)
- Halden Reactor Project Human Studies Review Committee, QA-P-271: Human Participants Protection Procedure.
- Ethical research guidelines given by the National Committees for Research Ethics in Norway <http://www.etikkom.no/retningslinier>
- Register of authorized publication channels <http://dbh.nsd.uib.no/kanaler/>

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The document "Ethical Guidelines and Basic Values" has been compiled by representatives from IFE's management, the employees and the employee associations. The document has been widely circulated on a consultation round within the Institute, and all the employees have had the opportunity to offer their comments. The document has been discussed by IFE's Board and is approved by the President.

IFE's Ethical Council is responsible for maintaining and updating IFE's Ethical Guidelines and Basic Values.

This is an electronic version of the document Ethical Guidelines and Basic Values. It is authorized for publication in electronic format. Intranet will always display the most recently revised version of the document.

<b>Approved by</b> : Eva S. Dugstad	
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