



ESS Code of Conduct

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1. INTRODUCTION

This Code of Conduct is a set of rules outlining the responsibilities and proper practices for individuals within the ESS. The rules are developed by and for ESS and express its business principles, values and norms and the appropriate behaviour for ESS Staff.

The motivation for this Code of Conduct is to influence the ESS Staff's ethical awareness, to be a socially responsible organisation and to comply with the expectations of our stakeholders.

The primary target group for the ESS Code of Conduct is the ESS Staff. However, other receivers that ESS expects to follow the Code of Conduct, or to apply equivalent principles, include students, trainees, secondees, consultants, visiting scientists and other persons engaged by ESS or having ESS as their temporary place of work, including external stakeholders such as partners, co-laboratories, etc.

It is the responsibility of each manager to implement this Code of Conduct in his/her team. Each member of the ESS Staff is responsible for understanding and complying with the provisions of this Code of Conduct, not only to the letter but also in spirit.

If a member of the ESS Staff is confronted with a situation for which this Code of Conduct does not provide guidance, he or she should ask himself/herself the following questions:

- Was an action taken that was not legal, ethical or fair?
- Would the situation embarrass or otherwise harm ESS's reputation if it became public?
- Would I feel comfortable telling my family about the situation?

2. RESPONSIBILITIES WITHIN THE ORGANISATION

2.1. Working conditions

2.1.1. ESS practices

ESS practices shall be based upon internationally recognised labour standards, applicable laws, regulations, collective agreements, industry standards and national customs.

2.1.2. Diversity

ESS is committed to a diverse and non-discriminatory workplace. The organisation seeks to actively recruit, continually develop and retain talented people from diverse backgrounds and origins. All ESS Staff are to be treated with equal respect and will have an equal opportunity to contribute fully to the organisation's success based on their individual skills and interests.

2.1.3. Career opportunities

ESS strives to give staff good opportunities to progress within ESS, to train for job enrichment and to be able to take on wider responsibility. ESS will give all staff a fair

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chance to compete for internal job opportunities. Relevant skills and competencies shall be the main differentiating factors in selecting the right person for the job.

2.1.4. Discrimination and harassment

ESS Staff will not discriminate against or harass any colleague or any external party. It is the policy of ESS to treat all current or potential ESS Staff equally, fairly and with respect regardless of race, gender, age, national origin, disability, caste, religion, sexual orientation, union membership or political affiliation. ESS is committed to taking immediate and necessary action if it becomes aware that any unfair or discriminatory practices are occurring or have occurred.

2.1.5. Compensation and benefits

ESS is committed to paying fair salaries and other related benefits according to relevant standards. Salaries should be such that ESS can compete in the labour market and thus contribute to the goal of attracting and retaining good staff.

2.1.6. Health and safety

ESS is committed to offering safe and healthy workplaces for all ESS Staff. ESS's goal is to eliminate rather than just reduce work-related accidents and injuries throughout its facilities and strives for the continuous improvement of health and safety in the workplace.

Unlawful distribution, possession, consumption or working under the influence of unlawful controlled substances (e.g., illegal drugs) while on ESS's premises and/or while conducting ESS's activities is strictly prohibited. This Code of Conduct does not prohibit the lawful use of alcohol in management approved meetings, social gathering or company events. However, this has to be managed in a responsible manner.

2.1.7. Staff representatives

ESS will demonstrate good faith and mutual respect in its dealings with ESS Staff and their representatives in the workplace. ESS recognises the fundamental right of employees to decide whether to be represented by recognised unions of their choice, and will respect the right of employees and their trade unions to engage in collective bargaining.

2.1.8. Privacy of data

ESS ensures that the registration, filing and use of personal data pertaining to ESS Staff is treated with strict confidentiality and in accordance with applicable legislation and ESS Rules for Protection Policy [1].

2.2. Conflicts of interest

As a member of the ESS Staff, an individual's professional loyalty is to the organisation. All business related decisions must be made based on the best interests of ESS, rather than on any personal or other considerations or relationships. ESS Staff must practice honesty and integrity and should avoid entering into situations where their personal, family or financial interests may be in conflict with that of ESS.

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ESS works against corruption in all its forms, including extortion and bribery. Neither ESS nor any member of the ESS Staff (or a family member, or relative or friend of a member of the ESS Staff acting with his/her knowledge) may in any circumstances offer, promise, give, receive or demand an illegal or improper payment or benefit, bribe or any other undue advantage from or to a third party that could affect or appear to affect objectivity and fairness in business decisions. ESS Staff should at all times use their good judgement to avoid creating the appearance of improper payments and other inappropriate benefits. Particular care should be taken in all relationships with government or other public officials or employees, based in Sweden or abroad, as well as in procurement decisions.

Gifts and other benefits offered or received as part of normal business courtesy are not prohibited, e.g. lunches and other meals of an every-day character, smaller product samples and hand-outs/gifts of a lower value at conferences. In general, the higher the value, the more likely the gift or other benefit is to be considered inappropriate. A case-by-case assessment must be made by all ESS Staff, in communication with their line manager and when necessary, the legal division, using good judgement as to whether the gift or other benefit nevertheless could be considered inappropriate. Cash payments are however always considered inappropriate.

ESS Staff shall ensure at all times, that any gift or benefit received or provided by them is appropriate, occasional, reasonable, not lavish or extravagant in the context provided, transparent and always made in good faith. Further rules are set out in the ESS Code of Ethics in Contracting [2]

3. RESPONSIBILITIES TOWARDS EXTERNAL PARTIES

3.1. Society

ESS is committed to making a positive social contribution to the community where the organisation operates and to manage the business as a responsible member of society, showing respect for the laws, customs and needs of the different countries contributing to the development, construction and operation of ESS, as well as respecting the protection of internationally proclaimed human rights. The aim of the environmental and social responsibility initiatives is to actively contribute to a sustainable development.

3.2. Community relations and social responsibility

ESS is committed to acting in a socially responsible way and, within the framework of the national legislation, creating jobs and supporting its partners.

ESS management is actively encouraged to find ways and activities through which ESS and the ESS Staff can make a positive and lasting impact on the society and the communities in which the organisation operates.

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3.3. Sustainability

ESS should act in an environmentally responsible and sustainable manner by minimising the environmental impact of the organisation's activities. Responsibilities for environmental protection are shared throughout ESS – all members of the ESS Staff have an important role to play. Our progress towards sustainable development is continuously monitored and externally communicated.

3.4. Media communications

ESS's goal is to be transparent, open and proactive in its communications with all of its stakeholders, to provide factual and consistent information about the ESS project and development while taking care not to disclose any sensitive information that could damage the organisation's position. ESS Staff shall ensure that information essential to the stakeholders of the organisation shall always be given as fast as circumstances permit.

3.5. Business partners

It is the policy of ESS to treat all current or potential business partners fairly and without prejudice. The goal is to gain and maintain business by continuous development and research and to be able to provide research, services and solutions that meet partners' expectations regarding quality, safety and environmental protection, while always applying the highest standards of business ethics.

3.6. Owners

ESS is always striving for return (whether financial, in the form of disseminating research results or otherwise) on the owners' invested money and ESS Staff shall always consider a sustainable and improving return when determining important strategies and financial action alternatives.

4. APPLICABILITY

This Code applies to all ESS Staff regardless of function, grade or standing and relates to their conduct in connection with all ESS operations. ESS expects equivalent standards of conduct from all other persons acting on its behalf and no one in the organisation has the mandate to authorise exceptions from the Code of Conduct.

Managers are expected to conduct themselves in a manner which is a good example of the practice and the guidelines set forth in this Code of Conduct. It is also the responsibility of every manager within ESS to ensure that all ESS Staff reporting to him/her are fully aware of the Code of Conduct and to ensure that it is implemented and followed.

This Code of Conduct is not exhaustive and any member of the ESS Staff, who is in any doubt as to whether a proposed course of action or conduct might violate it, should seek the advice of his/her line manager before taking action.

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The Code of Conduct shall be distributed internally as well as to third parties such as students, trainees, secondees, consultants, visiting scientists and other persons engaged by ESS or having ESS as their temporary place of work. The HR division should inform potential ESS Staff members about the Code of Conduct during the recruitment process and, when needed internally, offer information and training, e.g. e-learning, lectures and seminars/workshops. ESS will review the Code of Conduct from time to time and update it in accordance with best practice and changes to the regulatory framework.

5. ROUTINES FOR REPORTING VIOLATIONS

If any member of ESS Staff perceives or experiences behaviour or actions that go against the Code of Conduct, he/she should report that information immediately to his/her line manager, with the assurance that there will be no retaliation or other negative consequences for persons acting in good faith. If for some reason a member of the ESS Staff feels that he/she cannot confide in his/her line manager, the next step would be to report the situation to the line manager's line manager ("grandfather"). For issues of a sensitive nature, which would be inappropriate to direct to a line manager as stated above, the Head of HR division, Head of Legal division or the Director for Project Support and Administration should be contacted.

On receipt of a complaint, all ESS managers are required to investigate and resolve the matter complained of and report on its progress and outcome to the Head of HR division or the Head of Legal division, as may be appropriate in the circumstances.

If, a member of the ESS Staff, has raised a concern which he/she does not consider to have been resolved, the member of staff should report the concern to the Head of HR division. The Head of HR division is also available as an independent source of advice to all members of the ESS Staff requiring assistance, advice or clarification on issues pertaining to this Code of Conduct.

An ethical committee will be established and will have responsibility for investigating reported violations and taking necessary action. The committee will consult the Head of Legal division as required.

Failure to comply with the Code of Conduct internally may result in disciplinary measures and in extreme cases, ESS may initiate civil law proceedings or refer the matter to the appropriate public authority for investigation.

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6. GLOSSARY

Term	Definition
ESS	European Spallation Source ERIC, including the Data Management and Software Centre (DMSC) and other sub-entities that may be established by ESS
ESS Staff	Employees, students, trainees, secondees, consultants and visiting scientists having ESS as their permanent or temporary place of work

7. REFERENCES

- [1] ESS Rules for Data Protection (ESS-0035303)
- [2] ESS Code of Ethics in Contracting (ESS-0025288)

DOCUMENT REVISION HISTORY

Revision	Reason for and description of change	Author	Date
1	First issue	Ohad Gruber-Soudry	2015-02-10
2	Update from the AB to the ERIC, changed template, added new reviewers, minor corrections	Johan Långberg	2016-10-13