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1. DOCUMENT CHANGE HISTORY

PUBLICATION DATE	AUTHOR	REVISION NO	CHANGE DESCRIPTION
November 2004		01	
August 2020	Esmé Kennedy	02	Significant revision and update to new template and King IV

2. DEFINITIONS

Term	Definition
Accounting Authority	The CSIR Board of Directors appointed by the Minister of Higher Education, Science and Technology.
Code of Conduct	The CSIR Code of Conduct included in this document as section 14.
Confidential Information	All scientific, technical, business, financial, past, present or future research, development, business activities, products, services and technical knowledge or marketing information. "Confidential Information" shall include any information that falls within the definition of "Personal Information."
Contracted Stakeholders	Contracted Stakeholders are those persons or parties with whom the CSIR has formal contractual relations, such as its shareholders, employees, suppliers/service providers, collaborators and customers.
CSIR Employee/s	All individuals employed by the CSIR, on a temporary or permanent basis, incurring costs in the name of the CSIR.
CSIR Executive Committee	The committee made up of the Group Executive members of the CSIR leadership team and chaired by the Chief Executive Officer.
Ethics Statement	The CSIR Ethics Statement included in this document as section 13.
Executive Authority	The PFMA defines the Executive Authority as the Cabinet member who is accountable to Parliament for the public entity, or in whose portfolio the public entity falls.
King IV	The King IV Report on Corporate Governance for South Africa 2016 published by the King Committee on 1 November 2016, becoming effective in respect of financial years commencing on or after 1 April 2017.
Non-contracted Stakeholders	Non-contracted stakeholders are those persons or parties who do not have a formal contractual relationship with the CSIR, but who are nevertheless affected by what the CSIR does or says, such as communities, the natural environment, and future generations.

Term	Definition
Personal Information	<p>Information relating to an identifiable, living, natural person and, where it is applicable, an identifiable, existing juristic person, including, but not limited to:</p> <ul style="list-style-type: none"> a) information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person; b) information relating to the educational background or medical, financial, criminal or employment history of the person; c) any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person; d) the biometric information of the person; e) the personal opinions, views or preferences of the person; f) correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence; g) the views or opinions of another individual about the person; and <p>the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.</p>
Stakeholders	<p>Broadly defined as those who are affected by an organisation's decisions and actions inclusive of Contracted and Non-contracted Stakeholders – see definitions for "Contracted Stakeholders" and "Non-contracted Stakeholders."</p>

3. LIST OF ABBREVIATIONS

Abbreviation	Full term
CSIR	Council for Scientific and Industrial Research
FCPA	The United States Foreign Corrupt Practices Act of 1977 as amended
King IV	King IV Report on Corporate Governance for South Africa, 2016
PFMA	Public Finance Management Act, 1999 (Act No.1 of 1999)
UKBA	The United Kingdom Bribery Act of 2010 as amended

4. PURPOSE

The primary reason for establishing a CSIR Ethics Statement and Code of Conduct is to provide clarity to all Stakeholders on the ethical standards that CSIR requires to prevail in its relationships and interactions with its Contracted and Non-contracted Stakeholders.

The CSIR needs to establish a CSIR Ethics Statement and Code of Conduct that contributes to a sense of coherence, positive transformation, relationship building and the establishment of a strong ethical culture. Such a culture encourages Stakeholder support and respect for the rules of conduct required by the CSIR and promotes trust in the structures assigned with the execution of the CSIR's statutory mandate and internalisation of the company's values. CSIR Employees and other Stakeholders will have their own pre-existing ethical values and standards when they contract or engage with or on behalf of the CSIR. The onus is on the CSIR to provide clarity on what ethical standards are required from all persons who act in the name of, or on behalf of the CSIR, and what standard can be expected by those reliant on the CSIR fulfilling its mandate. This CSIR Ethics Statement and Code of Conduct lays down the ethical standards that all Contracted Stakeholders are expected to abide by and that all Non-Contracted Stakeholders can expect from the CSIR. In alignment with the recommendation of King IV, the CSIR seeks to establish a CSIR Ethics Statement and Code of Conduct that is widely available to all its Stakeholders.

All organisations encounter ethical challenges in the normal course of conducting their business. The CSIR Ethics Statement and Code of Conduct seeks to clarify which ethical matters fall in the category of the good, right, just, or acceptable, and which ethical matters fall in the category of the bad, wrong, unjust, or unacceptable in the context of the CSIR's activities, and to provide guidance on considerations to apply in the event of uncertainty.

The CSIR Ethics Statement and Code of Conduct furthermore serves to engender trust and to communicate to Stakeholders that the CSIR is committed to be an ethical organisation.

The CSIR Ethics Statement and Code of Conduct reinforces corporate governance as a holistic set of arrangements that concerns itself with ethical leadership, attitude, mindset and behaviour.

5. SCOPE

The CSIR Ethics Statement and Code of Conduct sets standards for the CSIR's interaction with both its Contracted and Non-contracted Stakeholders. Although the CSIR is better positioned to monitor ethical behaviour pertaining to its Contracted Stakeholders, it is also responsible for the potential impacts on Non-contracted Stakeholders.

The CSIR Ethics Statement and Code of Conduct is owned by all the Stakeholders of the organisation, but particularly by the CSIR Employees and Accounting Authority. CSIR Stakeholders must embrace the spirit and content of the CSIR Ethics Statement and Code of Conduct and practice the guidelines continually.

6. OBJECTIVE

The CSIR Ethics Statement and Code of Conduct seeks to ensure that the CSIR:

- Contributes meaningfully to the sustainable delivery on the CSIR's assigned statutory mandate, whilst maintaining high standards of professional ethics and the efficient and effective use of the resources it is entrusted with;
- Aligns the organisation's operational standards to universally and constitutionally accepted expectations regarding human rights and dignity;
- Promotes adherence to standards of good governance;
- Adheres to applicable legislation;
- Creates a clear and unambiguous common understanding of the ethical standards that are expected in the organisation;
- Creates a predictable environment;
- Promotes ethical behaviour;
- Prevents unethical behaviour;
- Embraces the need to enforce rules;
- Internalises organisational values;
- Provides guidelines for the behaviour of Stakeholders;
- Reassures Stakeholders of the organisation's ethical stance and intent; and
- Mitigates potential legal action.

The CSIR views adherence to ethical standards and acceptable conduct against the core ethical values of the CSIR as providing the main pillars of the CSIR Ethics Statement and Code of Conduct, and will systematically unpack the meaning, as well as ethical issues related to each value, and the behavioural implications, i.e., the "do's" and "don'ts" associated with each value.

7. EFFECTIVE DATE

This policy is valid from the Effective Date.

8. REFERENCE DOCUMENTATION

This document is in support of or is supported by the following:

Nr	Reference	Name of the Regulation/Document
1	Regulatory Framework	Basic Conditions of Employment Act, 1997 (Act 75 of 1997)
2		Broad-Based Black Economic Empowerment Act, 2003 (Act 53 of 2003)
3		Companies Act, 2008 (Act 71 of 2008)
4		Constitution of the Republic of South Africa, 1996 (Act 108 of 1996)
5		Employment Equity Act, 1998 (Act 55 of 1998)
6		Intellectual Property Policy of the Republic of South Africa, Phase I
7		Intellectual Property Rights from Publicly Financed Research and Development Act, 2008 (Act 51 of 2008)

Nr	Reference	Name of the Regulation/Document
8		King IV Report on Corporate Governance for South Africa, 2016
9		Labour Relations Act, 1995 (Act 66 of 1995)
10		National Environmental Management Act, 1998 (Act 107 of 1998)
11		Preferential Procurement Policy Framework Act, 2000 (Act 5 of 2000)
12		Promotion of Access to Information Act, 2000 (Act 2 of 2000)
13		Protection of Personal Information Act, 2013 (Act 4 of 2013)
14		Public Finance Management Act, 1999 (Act 1 of 1999) and National Treasury Regulations and Instruction Notices issued under the Public Finance Management Act, 1999 (Act 1 of 1999)
15		Skills Development Act, 1998 (Act 97 of 1998)
16		Skills Development Levies Act, 1999 (Act 9 of 1999)
17		Scientific Research Council Act, 1988 (Act 46 of 1988)
18	CSIR Policies/Procedures	Numerous CSIR policies, procedures and guidelines support the and expand on the principles set out in the CSIR Ethics Statement and Code of Conduct and should be read and considered in conjunction with this document in providing detailed requirements and guidance on subject specific matters

9. COMPLIANCE WITH CSIR ETHICS STATEMENT AND CODE OF CONDUCT

The CSIR expects all Employees, the Accounting Authority and any other third parties contractually or otherwise legally obligated (Contracted Stakeholders), to comply with this CSIR Ethics Statement and Code of Conduct and any supporting policies, standards, processes and procedures. Failure and/or refusal to abide by this CSIR Ethics Statement and Code of Conduct may be deemed as misconduct and may result in an investigation and/or disciplinary action against an individual. A claim of ignorance as to the existence and/or application of this CSIR Ethics Statement and Code of Conduct shall not be grounds for justification of non-compliance.

10. EXEMPTIONS

Exemptions, exceptions or deviations from this CSIR Ethics Statement and Code of Conduct will only be considered if warranted and lawful and in the best interest of the organisation. Only the CSIR Executive Committee and/or a properly delegated authority can approve exemptions, exceptions or deviations from this CSIR Ethics Statement and Code of Conduct. Approval requests must be submitted in writing for authorisation to the CSIR Executive Committee or properly delegated authority. Each exemption, exception or deviation from this CSIR Ethics Statement and Code of Conduct will be considered on a case-by-case basis, and approval of an exemption, exception or deviation will not constitute precedent to maintain in future or an amendment of this CSIR Ethics Statement and Code of Conduct.

11. ROLES AND RESPONSIBILITIES

a. Accounting Authority

Ethical and effective leadership underpins the CSIR Board of Director's oversight and guidance to the CSIR. The Board embraces and promotes value-creating governance through a deliberate and structured approach.

The Board determines and sets the tone of the CSIR's values, including principles of ethical business practice, human rights considerations and the requirements of being a responsible corporate citizen and through the recommendation of the Human Resources and Social and Ethics Committee, approves the CSIR Ethics Statement and Code of Conduct.

b. Human Resources and Social & Ethics Committee

The Human Resources and Social & Ethics Committee is responsible for the periodic review of the CSIR Ethics Statement and Code of Conduct and supports ongoing oversight of the management of ethics, monitoring the CSIR's activities with regards to ethics and ensuring it is integrated into the operations of the CSIR.

c. Executive Committee

The CSIR Executive Committee is delegated with responsibility for the implementation and execution of the CSIR Ethics Statement and Code of Conduct and to ensure that the necessary organisational structures are in place to address ethical business conduct in all its activities.

d. Combined Assurance Committee

The Combined Assurance Committee is responsible to track the progress against implementation of policies and procedures aligned with ethical business conduct and to monitor trends and risk associated with non-ethical behaviour.

The Combined Assurance Committee reports its findings and provides assurance on ethical business conduct to the CSIR Executive Committee and support the CSIR Executive Committee in its reporting to the Human Resources and Social and Ethics Committee and the Accounting Authority.

e. Legal and Compliance

The CSIR Legal and Compliance function is the custodian of the development and implementation of the CSIR Ethics Statement and Code of Conduct.

The CSIR Legal and Compliance function is furthermore responsible to roll out the CSIR Ethics Statement and Code of Conduct and any amendments thereto, to provide a framework of continuous organisational education and awareness of ethical standards and required

behaviour, as well as to provide guidance and support to employees in interpreting and correctly dealing with ethical dilemmas.

The CSIR Legal and Compliance function is represented on the Combined Assurance Committee as custodians of the development and implementation of the CSIR Ethics Statement and Code of Conduct.

f. CSIR Management

CSIR managers and supervisors have additional responsibilities resulting from their managerial/supervisory duties:

- A personal commitment to act according to the CSIR Ethics Statement and Code of Conduct, communicate this commitment to employees and lead by example;
- Maintain a work environment that encourages open communication about business ethics issues and concerns, and one that promotes compliance with such ethics;
- Regularly review standards of conduct during team briefings;
- Ensure that the CSIR Ethics Statement and Code of Conduct is made available to and communicated clearly to all employees within their scope of responsibility;
- Ensure that appropriate ethics sensitisation and training is provided;
- Be familiar with the resources and processes available to assist in the resolution of questions and concerns about business ethics;
- Identify relevant areas of risk in business activities and establish ways to address potential contraventions of the CSIR Ethics Statement and Code of Conduct;
- Take responsibility for the conduct of staff and ensure that serious or recurrent misconduct is dealt with appropriately; and
- Do not delegate discretionary authority to those employees who are unaware of or insensitive to the requirements of the CSIR Ethics Statement and Code of Conduct.

g. CSIR Employees and Contracted Stakeholders

CSIR Employees and Contracted Stakeholders are responsible to:

- Be familiar with the CSIR Ethics Statement and Code of Conduct and responsibilities in terms thereof;
- Be aware of and be sensitive to situations that could lead to unethical or illegal behaviour and avoid such situations;
- Not tolerate and always report unethical behaviour in others; and
- Understand and keep up to date with South African laws and those of other countries, funding agency regulations and client and stakeholder requirements as these relate to the position held.

12. LEADERSHIP ENDORSEMENT

Endorsement of the CSIR Ethics Statement and Code of Conduct is made by the Chairperson of the CSIR Board of Directors:

The CSIR Ethics Statement and Code of Conduct is based on the CSIR's statutory mandate and is built on an implicit set of values which inspires our employees and Contracted Stakeholders to maintain the highest ethical standards in all their dealings with our clients and stakeholders, as well as their relationships within the CSIR. It sets out a common framework around how we are expected to behave and to do the right thing.

Knowing, understanding, and living the CSIR Ethics Statement and Code of Conduct, is a fundamental part of who we are as CSIR professionals, and what we stand for. Whether we are working with CSIR colleagues or others, we depend on each other to be mindful of our ethical responsibilities.

CSIR Ethics Statement and Code of Conduct is one of many tools available to CSIR employees and stakeholders to assist in guiding our behaviour and understanding the ethical standard expected from us. It does not address every possible situation you might encounter, but rather seeks to embed our values into our day to day behaviours and ethical decision making.

If we come across a situation that is inconsistent with our CSIR Ethics Statement and Code of Conduct, we speak up. We value the courage it takes to raise concerns and we do not tolerate retaliation. When in doubt or facing a dilemma, we ask for help, as all our employees have to be committed to maintaining the highest level of ethical conduct in their actions and relationships and to preserve and strengthen the CSIR for those who will follow us,

The CSIR Ethics Statement and Code of Conduct has the full support of the CSIR Board and the Executive Committee. It reflects our personal integrity, honesty, respect for human dignity, equal opportunity and the rights of others. It reflects our commitment to what is right, fair, reasonable, legal and just and is aligned with the Guidelines contained in KING IV as well as the aims, objectives and provisions of the PFMA.

We believe that it is the only way to conduct our business.

13. CSIR ETHICS STATEMENT

The purpose of the CSIR Ethics Statement is to state the values to which the CSIR is committed to, and to establish agreement about our ethical principles and standards of acceptable behaviour.

The objects of the CSIR are, through directed and particularly multi-disciplinary research and technological innovation, to foster, in the national interest and in fields which in its opinion should receive preference, industrial and scientific development, either by itself or in cooperation with principals from the private or public sectors, and thereby to contribute to the improvement of the quality of life of the people of the Republic, and to perform any other functions that may be assigned to the CSIR by or under this Act. ~ Stipulated in Act 46 of 1988, as amended from time to time, section 3.

The CSIR has set itself a vision of being accelerators of socio-economic prosperity in South Africa through leading innovation. The vision is pursued through its mission to collaboratively innovate and localise technologies while providing knowledge solutions for the inclusive and sustainable advancement of industry and society.

Our beliefs, principles and the impact we wish to make to improve the quality of life of South Africans are EPIC. Team CSIR pursues EXCELLENCE, celebrates PEOPLE, personifies INTEGRITY, and welcomes COLLABORATION.

In the pursuit of EXCELLENCE, we excel at research and development and industrial innovation solutions that address South Africa's challenges. Quality and efficient thinking, systems and processes enable the necessary agility to change course, should our stakeholders or environment require it. We are unashamedly passionate about the impact we make and pursue excellence in every facet of CSIR life.

By being PEOPLE-CENTERED we ensure that we care about people – our impact through innovation aims to improve lives. We respect each other's diversity, and uphold the dignity of every person, regardless of culture or belief system. Our systems and processes enable continuous personal development and we encourage one another to seize opportunities. We treat our stakeholders the way we like to be treated.

We value INTEGRITY – in ourselves and in others. We are honest and fair in how we work and how we engage the world around us. We respect the trust that our colleagues and our stakeholders place in us and commit to ethical decision-making, delivery and governance.

We acknowledge that success is dependent on COLLABORATION and we are keen to learn from one another and collaborate across the organisation and with external partners, to ensure our work has the best chance to innovate a better future for South Africans. We actively share our knowledge and expertise by design, formally and informally, so that we can realise large-scale impact.

CSIR is committed to the conduct of its business in an ethical and fair manner, to the promotion of a corporate culture which is non-sectarian and apolitical, and which is socially and environmentally responsible.

In pursuing our EPIC values, CSIR requires its employees, officers, contractors, suppliers and directors alike to adhere to and be bound by the CSIR Ethics Statement and Code of Conduct and to uphold the following standards:

- Always behaving in a way which is beyond reproach when representing CSIR and taking responsibility for these actions;
- Acting with integrity in all dealings with fellow officers, directors or employees, advisors, suppliers, customers, shareholders and other stakeholders;
- Obeying all applicable laws and the rules and regulations of all applicable governmental agencies;
- Complying with all CSIR approval frameworks, policies, procedures and guidelines as amended from time to time;
- Recognising conflicts of interest when they arise and dealing with them in the manner required in the CSIR Ethics Statement and Code of Conduct;
- Refraining from using CSIR information for any purpose other than that for which it was intended, and maintaining the confidentiality thereof even after your tenure at CSIR; and
- Refraining from engaging in practices or pursuing private interests which could conflict with those of CSIR or which could result in CSIR suffering losses or damage as a result, other than on the basis permitted in the CSIR Ethics Statement and Code of Conduct and supporting guidelines and policies.

Employees, directors and officers of CSIR accept that their individual judgement is required in the application of these principles. However, they accept that any breach of the CSIR Ethics Statement and Code of Conduct exposes them to the possibility of disciplinary action, which could result in the termination of employment or office on the basis set out in the CSIR's disciplinary codes and procedures available on the company website or upon request.

In addition, certain transgressions may also be criminal in nature and could expose the perpetrator to criminal prosecution, which CSIR will not hesitate to set in motion. CSIR is committed to the timely disclosure of information to the shareholder, government and the public, which is full, fair, accurate and understandable.

Any person who may be concerned that any disclosure has not been complete or correct is required to ensure that his or her concern is brought to the attention of an appropriate member of the CSIR Executive Committee.

At CSIR, we are committed to the highest standards of corporate governance, ethical conduct and regulatory compliance. Strong and effective governance is fundamental to the sustainability of our business and to the creation of enduring value for all our stakeholders.

We are committed to ensuring that our structures, processes and policies align with applicable laws, international standards and best practices as these evolve and develop globally. We have also embraced the outcomes-based philosophy of the King IV Report on Corporate governance and these have been embedded in our Annual Reports and Annual Financial Statements.

As evidence of the CSIR's commitment to this CSIR Ethics Statement and Code of Conduct, an anonymous Fraud & Ethics hotline line is available to all CSIR stakeholders.

There are multiple ways to file a report:

Telephonically by dialling the toll-free number, from any Telkom landline (including public phones) within the borders of South Africa **0800 222 584**. **Calls made from cellular telephones are charged at standard service provider rates.**

E-mail: csir@tip-offs.com

Via **web** by logging your report @: www.tip-offs.com

You can send a **letter** via:

Fax: 0800 00 77 88

Post:

Deloitte Whistle Blowing Services

KZN 138

Umhlanga Rocks

4320

The Code of Conduct in support of the Ethics Statement underpins our ability to behave in a manner consistent with our values. The Code of Conduct is not meant to provide specific

guidance on every situation we face. Instead, it is principle-based guidance that helps us to carefully consider difficult questions, promotes consultation, and encourages us to speak up if we have concerns.

In the Code of Conduct, you will find details on RIGOUR (Recognise, Investigate, Gather, Options, Understanding, Report), which is our framework for helping us decide the right thing to do with the necessary due diligence.

14. CODE OF CONDUCT

Our values guide our actions and decisions – the way we do things at CSIR. All our values and the associated behaviours are important, although some are specifically relevant for Stakeholders, as indicated in the table below. Practical guidelines relating to the application of our values in various ethical scenarios are further provided in the subsequent section.

Stakeholder	Customer	Employees	Shareholder	Government	Public	Suppliers
Values						
EXCELLENCE						
Innovation						
Solutions						
Agility						
Quality						
PEOPLE-CENTERED						
Respecting diversity						
Uphold dignity						
Personal development						
Equal opportunity						
INTEGRITY						
Honesty						
Fairness						
Transparency						
COLLABORATION						
Teamwork						
Communication						
Impact						

Critical Relevance to Stakeholder		Limited relevance to Stakeholder	
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As a minimum requirement, the laws of the country should always be upheld and adhered to. In addition, the Code of Conduct, outlined below, should always be consulted to understand what is considered ethical practice, how it applies practically in our everyday working lives, and whether one's actions and behaviours can be considered ethical and compliant.

Where appropriate, reference should be made to a more detailed policy, procedure or guideline. If there is any uncertainty with respect to any of the guidelines in the Code of Conduct and provisions below, CSIR Legal and Compliance, the Company Secretary or a Line Manager or Supervisor can be contacted for clarity.

a. Ethical Behaviour

Compliance with the Code of Conduct by all CSIR Employees and Contracted Stakeholders is mandatory. Should you be in doubt about the application of the Code, discuss the matter with your immediate superior or a human resource practitioner in your immediate environment. Alternatively, you can direct queries to CSIR Legal and Compliance at:

EthicsQuery@csir.co.za

This Code of Conduct will help you to perform your tasks at the CSIR with confidence in an ethical and irreproachable manner. It will guide and support you in identifying, considering, understanding and appropriately responding to business ethics issues in the workplace. The Code of Conduct should be read in conjunction with the Ethics Statement and all relevant policies and procedures in the CSIR providing detailed requirements and guidance on subject specific matters.

The Code of Conduct address a range of common business issues and practices that could present employees with ethical problems and sets out the ethical requirements in dealing with them. These ethical problems and issues are not intended to be an exhaustive list of the ethical dilemmas you might face, and application of the RIGOUR Framework will also assist in guiding the required approach to ethical issues. The Code of Conduct is furthermore not intended to add to or to alter the CSIR Conditions of Service or specific policies and procedures approved for the organisation and should be read in conjunction and as supplementary to such guiding documents. The benefits to employees lie in the provision of clarity and certainty about responsibilities in terms of business ethics.

b. CSIR Core Expectations of Stakeholders

In pursuing the values and principles of the CSIR's Ethics Statement, the CSIR requires its Contracted Stakeholders to adhere to and be bound by the standards set out in the ethics statement.

c. Conduct aligned with pursuing EXCELLENCE

In the pursuit of EXCELLENCE the following conducts are expected:

i. Commitment to Quality

The CSIR is committed to the quality and value of its products and services. This is entrenched through the continual improvement of our quality management processes.

The quality and impact of our work is critical to who we are.

Sustained performance is part of how the CSIR creates and builds trust with our clients, in each other, and in our communities. The CSIR commits to only serve clients that we're competent to serve, who value our service, and who meet appropriate standards of legitimacy and integrity. CSIR furthermore provides only services we are professionally capable of delivering. Our reputation is defined by trust, integrity, and achieving high quality sustainable value. Our success is dependent on upholding professional standards, adhering to applicable laws and regulations, and fulfilling ethical obligations while delivering high quality, innovative work.

All CSIR employees are required to deliver their duties with this commitment front of mind and to ensure proposals and commitments extended to external parties are within the CSIR sphere of capability.

ii. Commitment to Society

As one of the statutory research councils established by an Act of Parliament, the CSIR is bound by the country's legalisation and constitution. The organisation regards itself as a responsible corporate citizen whose mandate is defined by the Scientific Research Council Act.

CSIR strives to be a caring and responsible neighbour and therefore responsible employees must consult extensively with impacted communities where necessary.

Annually, CSIR builds the skills of local entrepreneurs throughout the country by providing business and entrepreneurial skills and support to developing small and medium enterprises in order to create jobs, promote sustainability and increase wealth.

We also contribute to national policies of procurement and enterprise development by cooperative ventures with small and medium enterprises, and we procure services from suppliers with a strong emphasis on black and female owned entities.

CSIR employees are required to be supportive the CSIR initiatives aligned with the organisational guidelines on preferential procurement and small and medium enterprise development and support.

We all must also serve as responsible stewards of the environment and care for the safety and well-being of our colleagues, visitors, tenants, contractors, customers and communities.

iii. Commitment to Safety

The CSIR is committed to promoting and ensuring the safety of our employees and other Stakeholders in the work environment. Safety is defined to include physical safety and diversity-sensitive, professional security.

Conducting our business in compliance with all Health and Safety laws is crucial to protecting each other from harm. As CSIR, we must always comply with all relevant Health and Safety laws and policies and never ignore a potential health and safety concern. Employees and Stakeholders attending to CSIR sites must ensure that they are fully versed in the health and safety requirements applicable in their assigned working areas and that they strictly adhere to all requirements in the interest of their own health and safety as well as the health and safety of others.

iv. Environmental Control and Sustainability

The CSIR is committed to conducting business in a socially responsible and ethical manner that protects the environment. We are committed to environmental protection and preservation of our natural resources. We also are responsible for complying with all applicable environmental laws and regulations. This responsibility is a core foundation of our commitment to environmental sustainability.

The CSIR is committed to minimising adverse impacts on the environment and subscribes voluntarily to the most stringent legal prescriptions. Employees, suppliers and contractors are required to ensure the highest possible standards of environmental control. All applicable environmental laws will be complied with, without exception.

d. Conduct aligned with being PEOPLE-CENTERED

By being PEOPLE-CENTERED we commit to the following conducts:

i. Commitment to Employees

One of the CSIR's core values is being people centred. This is reflected in our various Human Capital related policies, procedures and guidelines and all CSIR employees are encouraged to familiarise themselves with the content of these documents that provide valuable guidance on behavioural requirements.

As an employer, the CSIR is committed to honouring the values of respect, dignity and equal opportunity. CSIR fully subscribes to employee development, participation and empowerment and provides a safe and healthy working environment.

Regular employee satisfaction surveys are conducted to assess employee morale and to take remedial action where necessary.

ii. Non-Discrimination

No discrimination on any individual or group will be allowed on any arbitrary basis, including but not limited to race, gender, sex, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, political opinion, culture, language, marital status or family responsibility. Employees have the right of freedom of association and fair treatment. For all employment-based decisions (such as recruitment, promotion and training), the only legitimate criteria are an individual's performance, capability and potential, subject only to the requirements as prescribed by CSIR's Employment Equity Policy.

iii. Respectful Conduct

At CSIR we believe in treating each other with respect, whether a co-worker, supplier, customer or anyone doing business with us.

Harassment is conduct which inappropriately or unreasonably interferes with work performance, diminishes the dignity of any person or creates an intimidating, hostile or otherwise offensive working environment based on an individual's legally protected status.

Verbal, visual or physical conduct of a sexual nature is not acceptable in the workplace and may be determined to be sexual harassment. Examples include:

- Sexual advances;
- Requests for sexual favours;
- Sexually explicit language, inappropriate jokes, remarks about a person's body or sexual activities;
- Displaying sexually suggestive pictures or objects, suggestive looks, leering or suggestive communication in any form; and
- Inappropriate touching, whether welcome or unwelcome.

We also prohibit other forms of harassment based on an individual's legally protected status, such as:

- Using slurs or negative stereotyping;
- Verbal kidding, teasing or joking;

- Intimidating acts, such as bullying or threatening; and
- Any other conduct that shows hostility towards, disrespect for or mistreatment of an individual based on the individual's legally protected status.

Harassing conduct in the workplace, such as that described above, is prohibited regardless of whether it is welcome or unwelcome and regardless of whether the individuals involved are of the same or different sex, sexual orientation, race or other status.

iv. Respectful Communication

At CSIR we believe in treating each other with respect, whether a co-worker, supplier, customer or anyone doing business with us.

At the CSIR we urge you to be thoughtful in your communications, online and off. Always be courteous and respectful towards co-workers and clients when speaking in public or online forums, use social media, or take part in external dialogue.

When expressing views on community or public issues, be very clear when such views are our own and not necessarily those of CSIR. When an audience can reasonably expect that you represent CSIR, state only the CSIR's view and not your own.

When engaging online, always conduct yourself online in a manner that is consistent with the CSIR's ethics and values. Inappropriate conduct of the type described herein is strictly prohibited, online or otherwise.

v. Immigration Compliance

The CSIR strives to be compliant with the laws and regulations applicable to its activities. Therefore, it will not hire, recruit or refer anyone not legally authorised to work in the country in which employment is sought.

It is our responsibility to inspect, verify and document the identity and employment authorisation of every new colleague, including colleagues on global assignment in a country different from their home country. We are responsible for re-verifying the continuing employment eligibility of each colleague by requesting further documentation when their initial work authorisation has expired.

All persons we hire or send on a global assignment to a country other than their home country, must provide proper documentation and verification of their authorisation to work in the country where they are to be employed. The CSIR requires all employment agencies, contractors and others doing business with us to fully comply with all immigration laws.

vi. Personal Relationships

The CSIR wishes to maintain a working environment in which colleagues can perform effectively and achieve their full potential. We all are responsible for creating a climate of trust and respect and for promoting a productive working environment.

A conflict of interest exists when you manage someone with whom you have a family or romantic relationship. A family relationship includes but is not limited to the following relatives by birth, adoption, marriage, domestic partnership or civil partnership:

- Your spouse/partner;
- Children;
- Parents;
- Siblings;
- Grandparents;
- Grandchildren; or
- Anyone who currently is a member of your household, whether you are related or not.

It also may include other close personal relationships that can affect your judgement. Even if you're acting properly, your relationship will likely be seen as influencing your judgement. This can damage morale and disrupt workplace productivity.

Therefore, you may not directly or indirectly supervise any family members or any colleague with whom you have a close personal relationship or are romantically involved. This especially includes situations in which you may be able to influence that colleague's terms and conditions of employment or that colleague may be able to influence the terms and conditions of your employment.

The CSIR strives to eliminate personal relationships that interfere with work performance or which may constitute harassment. Employees should seek guidance from their line manager or contact Legal and Compliance whenever an issue comes up regarding a personal relationship.

vii. Conditions of Service

Every employee of the CSIR commits to the Conditions of Service of the CSIR. This includes - as is required by section 13 of the organisation's enabling legislation, being the Scientific Research Council Act, the mandatory transfer of all rights in and to inventions or discoveries, which are created in the course and scope of employment with the CSIR, to the CSIR to properly protect the CSIR and its intellectual capital, and to keep information confidential.

The Conditions of Service, which is agreed to by each employee upon appointment, requires an employee to support the organisation, its vision and goals.

viii. Political Involvement

The CSIR believes in the country's Constitution and will not willingly and consciously violate its prescripts. Individual employees have a right to participate in political processes and activities, provided these do not deprive the organisation of their contracted services in any way. The CSIR will not attempt to influence any such activity provided there is no disruption to workplace activities, and it does not contribute to industrial unrest.

CSIR funds, goods and services must never be used to contribute to political activities in any way.

e. Conduct aligned with acting with INTEGRITY

By valuing INTEGRITY, we undertake the following:

i. Confidential and Personal Information

During the course of our work, employees may have access to Confidential and Personal Information, including business plans, financial information, personnel and salary information.

Disclosure of Confidential and Personal Information outside the CSIR, especially to competitors, could be harmful to the organisation.

Consequently, Confidential and Personal Information should be used only for the purpose for which it was intended and respecting the confidentiality of corporate or personal information is an absolute requirement that each employee should comply with, without any exception.

You are required to treat all information which becomes known to you by virtue of your position in CSIR including, without limitation, information pertaining to CSIR which is not in the public domain, in the strictest confidence.

This obligation of confidentiality and privacy continues to bind you even after you are no longer employed by CSIR.

We also respect the privacy and confidentiality of information of our clients and others with whom we do business and we collect, store, use, transmit, and dispose of personal and confidential information in a way that is transparent and promotes trust. The CSIR only gathers, uses, and keeps personal, client, and other confidential information if we have a legitimate reason to do so and access to this information is provided only as necessary or required by law.

You are required not to disclose or use such information for any purpose whatsoever, other than the business purpose for which it was disclosed to you in the fulfilment of your duties to and position at CSIR.

Subject to the provisions of the South African Promotion of Access to Information Act 2 of 2000, the Protection of Personal Information Act 4 of 2013 and/or any other applicable law, Confidential and Personal Information concerning other employees, officers or directors should not be disclosed to any external party without that person's consent or as required by law.

If you are uncertain as to whether information is confidential or personal, or the purpose for which any information may be used, you must seek advice from your manager or, ultimately, the Legal and Compliance function.

ii. Intellectual Property Rights

A confidential information category includes CSIR research and development activities, manufacturing methods, patents and product development information. The disclosure of information outside the CSIR will only be permitted if it is done by authorised personnel with and in alignment with the CSIR approval and authorisation frameworks.

You are required to protect the intellectual property of the CSIR. The property may be in the form of patents, trade secrets, trademarks and copyright.

The Company reserves its rights to any invention developed by any employee while employed by the Company whether such invention arises from immediate duties or not. Any such invention must be immediately reported to the CSIR and employees are also required to co-operate in the legal protection of such inventions.

iii. Asset Protection (inclusive of physical assets and organisational funds):

CSIR employees must always ensure that the CSIR assets are used only for legitimate organisational business purposes. Where an employee's position requires organisational funds to be spent, it is the individual's responsibility to follow all approval frameworks and to apply good judgement on behalf of the organisation and to ensure that appropriate value is received by the organisation for such expenditures.

In terms of section 57 of the PFMA, each employee, within the area of his/her responsibility, is responsible for the managing of the organisation's liabilities and for the safeguarding of its assets. Every employee will be held accountable for the care and safe custody of the organisation's assets (including Intellectual Property rights) placed under such employee's control.

iv. Competitive Information

Although it is appropriate to seek information about the competitive environment from consultants and other experts, the CSIR does not contact persons in order to obtain sensitive information or data relating to competitors.

Communication with competitors regarding sensitive competitive information, such as prices, costs, terms and conditions of sale, or regarding decisions on whether to quote or not to quote, may be treated as evidence of an improper understanding or agreement between competitors. This is particularly so if the communication is followed by similar bids, price increases or other competitive actions.

Within the competitive environment of a market economy, the CSIR appreciates the opportunity to compete fairly and responsibly. The CSIR will not attempt to access any confidential competitor information, nor will it engage in any activities that would constitute – or could be perceived as – collusion or price-fixing and all employees are required to strictly adhere to this principle in the execution of their duties.

v. Conflicts of Interest

You are expected to always act in the best interests of the CSIR in an honest, fair and objective manner and therefore employees should avoid placing themselves in a position where personal interests may, or may appear to be, in conflict with those of the CSIR.

The CSIR expects employees not to use their position or knowledge gained through their position within the CSIR for private and/or personal gain or to conduct business in such a manner that a conflict or even a perceived conflict arises between the CSIR's interest and any employee's personal interest.

A conflict between your own interests and those of the CSIR could arise in several situations including, amongst others, the following:

- Where you have or acquire an interest in any entity which is not owned or controlled by the CSIR, including, without limitation, by being a shareholder, member or director, owner or partner. This includes but is not limited to acquiring or intending to acquire an interest in a competitor, supplier and/or a potential vendor. Employees are required to inform the Company if such a conflict exists and when in doubt, speak to your line manager to obtain clarity and to manage any actual or perceived conflict effectively. This does not apply to investments in shares which are listed on a registered stock exchange;
- Doing business on behalf of the CSIR with any current or potential supplier, advisor, customer, competitor or business associate of CSIR in which you, your spouse or close family member has an interest of any nature whatsoever;
- Accepting personal favours or any form of preferential treatment from any current or potential supplier, advisor, customer, competitor or business associate of the CSIR;
- Entering into any agreement, arrangement or understanding with any third party to the detriment of the CSIR;
- Contracting with any third party, who is a current or potential supplier, advisor, customer competitor or business associate of the CSIR in your private capacity or other than as a representative of the CSIR;
- Accepting an assignment for personal gain, the nature of which is similar to the work being done for the CSIR;
- Engaging in activities in your private capacity or other than as a representative of the CSIR which may impact adversely on your ability to fulfil your obligations to the CSIR whether as an employee, officer or director, with integrity and in the best interest of the CSIR;
- When you, or one of your family members, receive improper personal benefits as a result of your position with the CSIR;
- When you are part of a panel required to appoint an applicant or a service provider who is a family member and/or friend;
- Accepting exclusive or preferential discounts from an employee or representative of a supplier or client;
- Dealing directly with or through a spouse or family member who is employed or representative of a supplier, vendor, client or competitor;
- Soliciting loans from clients or suppliers who are not generally in the business of granting loans to the public; and
- Purchasing shares from a supplier on a preferential basis.
- Employ or influence the employment of a family member or associate working directly in the same reporting line; and
- Have outside employment, conflicting shareholdings and/or directorships without written approval of as per the CSIR's declarations requirements.

You are required to discuss such a situation or any relationship which may give rise to such a situation with your line manager before taking further action. The process entails declaring details of the potential conflict of interest onto the CSIR Declarations System through your Human Resources representative. Your line manager will receive the declaration for a decision to either approve or decline.

A record of both the declaration and decision is maintained by the CSIR Declaration System.

Decisions are monitored by CSIR Legal and Compliance for appropriateness.

The CSIR will hold the manager and the employee jointly liable should approval be granted, and due care is not taken to ensure that the interests of the CSIR are protected.

vi. Outside Employment and Directorship

Whilst the CSIR promotes diverse participation by their employees in professional bodies and community organisations, employees should not, without prior authorisation in terms of the CSIR Conditions of Service, acquire any business interest or participate in any activity outside the organisation which could lead to any of the following:

- An excessive demand of the employee's time and attention which would deprive the CSIR of the employee's best efforts and contracted value in the position employed; and
- A conflict of interest, i.e. an obligation, interest or distraction which would or could interfere or appear to interfere with independent judgement in the CSIR's best interest.

It is regarded as a contravention of this Policy for employees to take up additional outside employment without prior authorisation in accordance with the CSIR's applicable approval frameworks. Employees who are offered Directorship positions outside the CSIR are required to seek Executive approval prior to accepting any such offer.

The provisions around Outside Work, as contained in the CSIR's Conditions of Service, should accordingly at all relevant times strictly be followed by every employee and the required declarations of interest be signed and/or updated annually or immediately whenever a perceived conflict arises.

vii. Corruption, Bribery and Fraud

The CSIR does not tolerate any form of illegal activity and will take immediate action against any perpetrator. Illegal activities include, but are not limited to, theft, corruption, bribery and fraud.

According to the Prevention and Combatting of Corrupt Activities Act 12 of 2004, the general crime of corruption happens when one person (A) gives (or offers to give) another person in a position of power (B) something to use their power, illegally and unfairly, for the advantage of A (or someone not directly involved).

Bribery which is considered a form of corruption is defined as giving or receiving a financial or other advantage in connection with the "improper performance" of a position of trust, or a function that is expected to be performed impartially or in good faith.

Bribery does not have to involve cash, or an actual payment exchanging hands and can take many forms such as a gift, lavish treatment during a business trip or tickets to an event.

A facilitation payment is a type of bribe and should be seen as such. A common example is where a government official is given money or goods to perform (or speed up the performance of) an existing duty. Facilitation payments are strictly prohibited, and they will be considered a breach of this Code of Conduct. Action will be taken against any person offering a facilitation payment on behalf of the Company.

In addition to adherence to South African legislation addressing anti-bribery compliance requirements, the CSIR is also mindful of the standards of conduct required by CSIR Employees and representatives in their engagements and collaboration with foreign nationals and entities, to facilitate compliance with the FCPA and UKBA.

In line with the Prevention and Combating of Corrupt Activities Act, CSIR seeks to:

- Create a culture of disclosure among its Stakeholders by providing comprehensive statutory guidelines for disclosing such information without fear of reprisal;
- Promote the eradication of criminal and other irregular conduct;
- Provide a consistent approach to reporting, managing, categorisation and measurement of fraud;
- Improve the ability to proactively identify all criminal activities, and in particular syndicated/organised criminal activity targeting CSIR, by establishing detection and prevention strategies;
- Promote a fraud prevention culture throughout CSIR, that comprises of fraud training, awareness and communication to all staff, individuals and organisations it does business with; and
- Adopt a zero-tolerance approach towards fraud and corrupt activities.

Bribery attempts from third parties must be communicated to your manager who must keep and maintain a written record and report the matter to Internal Audit for investigation and recommendation. Any dealings with the party concerned must be suspended immediately pending the outcome of the investigation and resultant recommendation.

You are not permitted to give, offer, authorise or accept, directly or indirectly, anything of value (such as a bribe or kickback) for the purpose of obtaining an improper personal or business advantage or that might create the appearance of impropriety.

Fraud is when an individual deliberately deceives others in order to secure unfair or unlawful advantage. It usually involves secretive actions committed on purpose.

Committing any of the above illegal activities is a breach of this Code of Conduct and will result in disciplinary action, which will lead to dismissal, should you be found guilty. In addition, the crime will be reported to the South African Police Services for the purposes of commencing criminal prosecution. Should there exist a scenario where an existing and/or potential supplier has intended to “bribe” or has bribed an CSIR employee, all further business dealing with contractor/supplier will be suspended whilst management considers appropriate action against the supplier which includes the right to terminate contractual relations.

viii. Trade Restrictions, Sanctions and Boycotts

Many countries maintain controls on where items or data may be exported to – these are called export controls. Under these laws, an export occurs when a product, service, software or technical knowledge is transferred to another country or to any foreign citizen or representative of another country, regardless of where that person is located.

Exports can also occur when a foreign citizen is given access to controlled information or software through a network, visual inspection, or telephone conversation. CSIR Employees may be exposed to export-controlled items or data while developing software, working with clients, or collaborating with third parties.

Some of the strictest export controls are maintained by the United States. For example, U.S. export regulations apply both to exports from the U.S. and to exports from other countries, when those products contain U.S.-origin components or technology. Other countries also have strict export control regulations.

To avoid inadvertently acting in contravention of export controls and opening the CSIR up to the associated liabilities or fines, it is important to early on in any customer engagement, carefully consider the obligations of the CSIR and the customer with respect to export controls.

Export rules are complex, and it is advisable to enlist the assistance of the Legal and Compliance function with dedicated trade compliance resources, to assist and guide your engagements with foreign nationals and foreign entities where any data transfers or exports are likely.

In the course of our work, we may encounter requests for CSIR to boycott certain countries, companies or other entities. Boycott activity can take the form of refusals to do business with certain groups or requests for information about boycotted entities. We should not cooperate with any boycott that is not initiated by the South African government. This may be considered as an illegal foreign boycott. Be alert to these situations, as these requests may be contained as part of larger documents such as master service agreements, invoices or statements of work.

If you are involved in the sale, marketing, distribution or transportation of products, or the transfer of technology across international borders, you must:

- Be familiar with and comply with all applicable laws and company policies regarding international trade restrictions;
- Notify the Legal and Compliance function if you receive any requests from customers, suppliers or others to participate in a boycott against individuals, companies or countries; and
- Seek guidance from the Legal and Compliance function if you have a concern about a trade-related issue.

f. Conduct aligned with valuing COLLABORATION

In pursuing COLLABORATION, we undertake:

i. Relationships with Customers, Clients and Suppliers:

When dealing with clients, customers and suppliers, employees should ensure that they are independent and are seen to be independent, from any business organisation having a contractual relationship with the CSIR or providing goods or services to the CSIR.

ii. Relationships with Suppliers, Contractors and Consultants

The following applies particularly to employees who have direct contact with outside suppliers or who are indirectly involved in sourcing, selection, evaluation and procurement.

Purchase contracts and the award of tenders must be made on the basis of quality, service, price (value for money) and availability and in full compliance with procurement practices, procedures and guidelines. All approved suppliers and contractors must be of good standing and should have an equal opportunity to compete for the CSIR's business. Consideration must also be given to the support of equity suppliers and small business development, simultaneously ensuring that the CSIR Procurement Policy is at all times adhered to. Business and personal activities must be kept separate, to avoid actual or potential conflicts of interest.

The CSIR's purchasing power must under no circumstances be used for personal benefit. It would therefore be unethical to seek a concession or benefit of a personal nature from a supplier.

Restricted, proprietary or sensitive information about the CSIR may not be revealed to a supplier or potential supplier without the proper and prior authorisation.

The CSIR will not tolerate any form of improper influence, inducement, bribery or unethical conduct by suppliers or clients. Such conduct will be immediately reported to the relevant employee's supervisor or Manager, who, through the involvement of the relevant organisational structures, will institute the appropriate action.

Employees who make or could influence purchasing decisions, must not be involved in the solicitation, on behalf of charitable, civic or other organisations, of gifts, money or time from current or potential suppliers.

iii. Payments to Employees by Suppliers, Contractors and Consultants

No contractor, supplier or consultant should make any payment or provide any form of reward to any CSIR employee to obtain any business or contract, to take any action, or in respect of any contract or order awarded, or for any other reason. This could amount to bribery and corruption under certain circumstances and any supplier, contractor or consultant who attempts to embark upon such activities, should without fail be reported to the CSIR Internal Audit Function for investigation.

iv. Payments to Other Persons

Payments for non-commercial purposes may be made only where authorised in advance and in accordance with the CSIR Approval Framework.

v. Solicitation of Payments, Gifts or Loans

Employees may not use their position at the CSIR to solicit any form of favour, payment, travel benefit, gifts or loans from suppliers or other stakeholders.

Solicitation places the supplier or stakeholder in a position where he or she feels obliged to provide the favour or gift to avoid losing CSIR business or receiving poor service. These practices are strictly forbidden.

You are not permitted to give, solicit or accept, directly or indirectly, favours, gifts or business courtesies that might compromise or be seen to compromise your professionalism or impartiality or which may, in any way impair your ability to act or be seen to act with integrity and in the best interests of the CSIR. This requirement extends to your immediate family members.

Cash payments, discounts or vouchers, no matter how small must not be accepted under any circumstances from any current or potential supplier, advisor, customer, competitor or business associate of the CSIR.

You are, however, not precluded from accepting novelty or advertising items of a nominal value, which are widely distributed by the donor e.g. calendars, pens, diaries, ties, etc. Any gift received whose value or perceived value exceeds the stipulated limit must be politely declined and returned by explaining Company policy in this regard.

Details of any favour, gift or business courtesy of any nature which are accepted by you, no matter how small, including the items mentioned above must, promptly following receipt, must be declared on the CSIR Gift Declaration portal available at:

http://intraweb.csir.co.za/procurement/gift_register_form.php

You may not accept any favour, gift or business courtesy of any nature if its value is or exceeds, or a series of favours or repeated gifts or business courtesies of which the cumulative value exceeds, R750 without the prior approval in accordance with the applicable CSIR approval frameworks. In such instances you are required to politely decline and return it to the sender.

vi. Entertainment and Hospitality

The CSIR recognises that hospitality and social engagement play a valuable role in the building of business relationships, however you are not allowed to provide or accept hospitality which influences or might be seen to influence your integrity, professionalism or judgement in relation to business decisions and relationships.

Any invitations which you accept or provide must be within the limits of reasonableness and good taste and be consistent with the principles espoused in this document.

The payment or reimbursement of travel, accommodation and/or living expenses should preferably, with the prior written authorisation of your manager, be covered by the CSIR and may not be accepted from any current or potential supplier, advisor, customer, competitor or business associate of the CSIR, without the prior written authorisation of your manager, acting in the best interests of CSIR. Any such authorisation must be forwarded to the Procurement function for record keeping purposes.

The acceptance of any invitation whatsoever of hospitality or entertainment must be declared in the CSIR Gift Declaration portal available at:

for your manager's decision to either approve or decline. Examples would include, without limitation, meals, attendance at sporting, social or cultural events and shows, hunting, fishing or any other recreational trips or pursuits.

In addition, the acceptance of any invitation, hospitality or entertainment valued at over R750 (or the local currency equivalent thereof) requires prior written approval from your line manager. If approval is not forthcoming, you are required to decline the invitation politely and explain the CSIR policy in this regard.

15. RESOLVING ETHICAL DILEMMAS

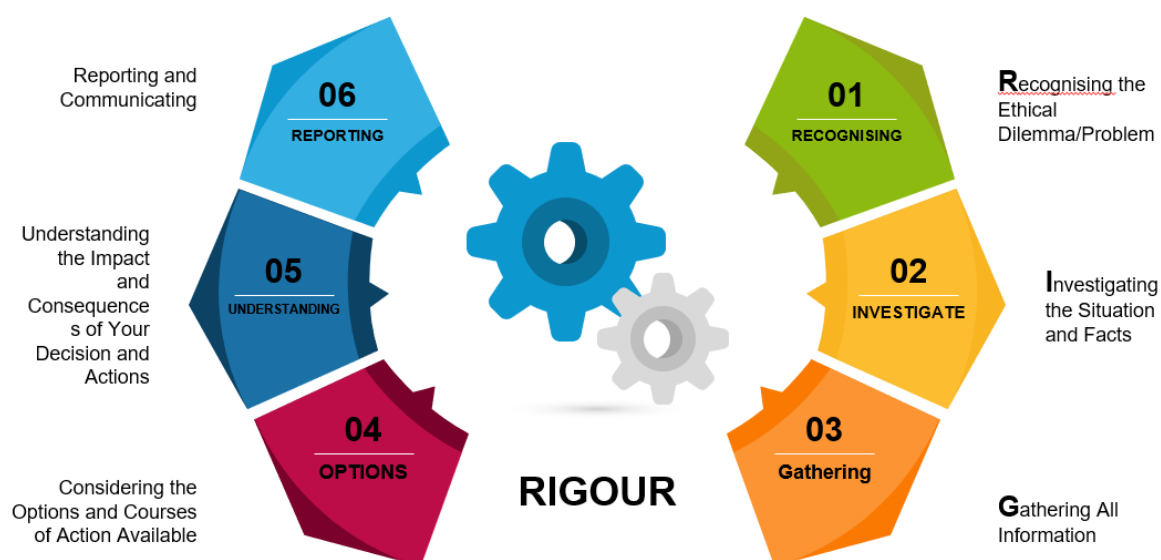
a. The Use of a Decision-Making Framework to Guide Resolution of Ethical Dilemmas

RIGOUR: Is our framework to assist in deciding the right thing to do.

Addressing and resolving ethical dilemmas is complex, and the Code of Conduct cannot guide on all issues or situations.

The RIGOUR decision making framework will assist in guiding thinking when unpacking an ethical dilemma before decision is made and action is taken. In deciding on a course of action, the steps and questions can help guide your approach.

RIGOUR DECISION-MAKING



RIGOUR DECISION-MAKING



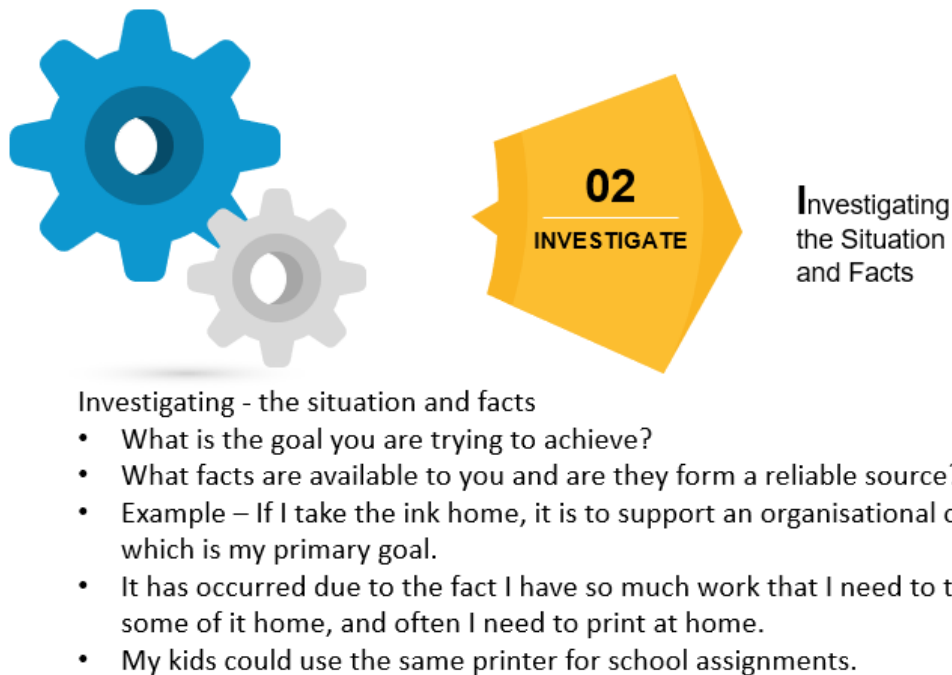
01
RECOGNISING

Recognising the Ethical Dilemma/Problem

Recognising – the ethical dilemma/problem

- What dilemma, problem, situation or question are you facing?
- Recognising the ethical decision to be made and avoiding making a rash decision
- Example – My problem is that I cannot afford to buy printer ink, and I have the same printer at home as at work.
- Since I do some work at home, it seems fair that I can take home the printer ink.

RIGOUR DECISION-MAKING



02
INVESTIGATE

Investigating the Situation and Facts

Investigating - the situation and facts

- What is the goal you are trying to achieve?
- What facts are available to you and are they form a reliable source?
- Example – If I take the ink home, it is to support an organisational output which is my primary goal.
- It has occurred due to the fact I have so much work that I need to take some of it home, and often I need to print at home.
- My kids could use the same printer for school assignments.

RIGOUR DECISION-MAKING



RIGOUR

Gathering – all the information

- Look at all possible information that will inform your decision.
- How does your goal compare possible outcomes.
- Example – the amount of printing I actually do at home is very limited.
- My kids print a lot more than me and will likely abuse it.
- The company is regularly exceeding its printing cost budget.



Gathering All
Information

RIGOUR DECISION-MAKING

Options – considering the options and courses of action available

- Look at all possible information that will inform your decision
- Example – My intention is to use the ink for work purposes only.
- Could I restructure my work schedule and planning to do all my printing at the office.
- Would the company contribute to my home expenses if I motivated the need.



Considering the
Options and Courses
of Action Available

RIGOUR

RIGOUR DECISION-MAKING

Understanding
the Impact and
Consequences
of Your
Decision and
Actions



Understanding – understand the impact and possible consequences of the various decisions/actions

- Example - If I take home this ink, my intention may show I am disloyal to the company and do not respect company policies.
- The decision could injure my company and myself, in that if I get caught, I may get in trouble. This could result in a loss of respect for me at work.
- If I am allowed to take this ink home, others may feel the same, and that means the company is spending a lot of money on printer ink for people's home use.

RIGOUR

RIGOUR DECISION-MAKING

Reporting and
Communicating



Reporting and communicating – communicate the dilemma, the impacts it has and how it could be addressed and seek guidance

- Example – An exception might be ok if I ask permission first.
- If I am not given permission, I can work with my supervisor to find a way to get my work done without having a printer cartridge at home.
- My communication and reporting could assist in formalising a solution for others who experience a similar dilemma.

RIGOUR