

# *Code of Ethics and Standards of Conduct*

*Effective Date: 03-11-09*

## *Foreword*

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The pursuit of scientific and technical excellence and the highest standards of professionalism are the hallmarks of Jefferson Lab. The Code of Ethics and Standards of Conduct, which apply to all employees of Jefferson Lab, confirm our commitment to ethical behavior in the conduct of all Jefferson Lab activities. We take pride in our dedication to integrity, fairness, and social responsibility.

Every level of management has the responsibility to monitor and vigorously enforce the Code of Ethics and Standards of Conduct. No one at Jefferson Lab is authorized to engage in or condone unethical or illegal action, or to direct others to do so. We must also be aware of the damage that can result from the appearance of questionable conduct, even if innocent by intent. We are all held accountable for our actions as individuals and as representatives of Jefferson Lab.

The principles set forth in our Code of Ethics and Standards of Conduct reflect the type of behavior that has helped us earn the respect and success that we enjoy today. As we target even higher levels of achievement, it is imperative that we continue to require ethical conduct in all our business relationships. Anything less is unacceptable.



Hugh Montgomery  
Director, Jefferson Lab

## *Code of Ethics*

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Stated in their simplest form, Jefferson Lab's fundamental ethical principles are:

- Each of us is responsible for the propriety and consequences of our actions.
- Each of us must conduct all aspects of Jefferson Lab business in an ethical and lawful manner.
- Each of us must hold ourselves to high standards of honesty, integrity and fairness in relationship to others.

Compliance with and effective enforcement of the Code of Ethics and Standards of Conduct is an expectation of all employees and will be incorporated into every employees' annual job-related training.

Failure to comply with the Code or Standards will result in appropriate disciplinary action, which may include termination of employment, reimbursement to Jefferson Lab or the DOE for any resulting losses or damages and in some circumstances may subject employees to civil or criminal penalties. Jefferson Lab is obligated to fully and fairly investigate all matters raised of unethical conduct.

# *Standards of Conduct*

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It is the policy of Jefferson Lab that certain rules and regulations regarding ethical conduct are necessary for the effective operation and optimum performance of the Laboratory. Expectations of unethical conduct are specifically stated in the Jefferson Lab Administrative Manual.

Examples include:

## CONFLICT OF INTEREST

Avoid situations that might involve a conflict of interest or even the appearance of a conflict of interest with Jefferson Lab or the Department of Energy's activities in carrying out its mission at Jefferson Lab. These include, but are not limited to: engaging in outside business activities involving Jefferson Lab suppliers, subcontractors, government officials, cooperative research partners or other federal agencies. Questionable activities may also include serving on the board of directors of a company doing business with Jefferson Lab, significant ownership in a company, or consulting with or working for a company or with activities inconsistent with DOE regulations or failing to disclose outside business activities as required by Jefferson Lab policy.

Observe Jefferson Lab's ethical standards, as well as applicable laws and regulations, when providing or accepting meals, entertainment or gifts to or from people in business situations.

## PROTECTION OF JEFFERSON LAB AND GOVERNMENT PROPERTY

Protect all Jefferson Lab and DOE data, property and funds under your control against loss, theft and misuse.

This includes proprietary information belonging to Jefferson Lab, and its collaborators. Keep this information confidential and be sure not to make any of it available to unauthorized personnel.

Security procedures have been established to protect sensitive information and many types of unclassified technical information. Jefferson Lab employees who handle such data are required to know these procedures and strictly adhere to them at all times.

Use Jefferson Lab and government data, property and funds only for their authorized, proper and intended purposes. No use of such data or property may be made after termination of your employment with Jefferson Lab. It is also imperative to make every effort to prevent the misuse of these assets by any other person. Improper use includes selling, loaning or giving away Jefferson Lab or government property, unauthorized removal of Jefferson Lab or government owned or borrowed property from the Lab and modifying, destroying or disclosing collaborator or Jefferson Lab data. Use of government or company property for personal or non-business purposes, other than as specifically permitted under Jefferson Lab's Policies, is considered to be improper conduct and is in violation of this Code of Ethics and Standards of Conduct. (See

Jefferson Lab Property Management Policy and Procedures Manual:  
[http://www.jlab.org/fm/property/property\\_manual.pdf](http://www.jlab.org/fm/property/property_manual.pdf)

Do not solicit, obtain or utilize Source Selection information relating to a government procurement or grant. In addition to materials so marked by the government or Jefferson Lab Procurement Staff, Source Selection information includes bid prices and proposed costs or prices submitted in response to a solicitation, source selection plans, technical evaluation plans, technical evaluations of competing proposals, cost or price evaluations of competing proposals, competitive range determinations, rankings of competitors, reports and evaluations of source selection boards, and government agency planning, programming, and budgeting system information. Similarly, do not solicit, receive, or utilize any other company's proprietary material other than as authorized by that company.

(See: Jefferson Lab Procurement Policy:

[http://www.jlab.org/div\\_dept/admin/business/procurement/Acquisition\\_Policy\\_Manual\\_Rev\\_1\\_01\\_29\\_2007.pdf](http://www.jlab.org/div_dept/admin/business/procurement/Acquisition_Policy_Manual_Rev_1_01_29_2007.pdf))

### DATA, RECORDS AND REPORTS

Prepare all Jefferson Lab business documents as completely, honestly and accurately as possible. These records include timekeeping records, expense reports, accounting records, test and progress reports, cost estimates, contract and grant proposals, and presentations to clients, the public or Jefferson Lab management, and any representation, either written or oral, made by any Jefferson Lab employee or representative in the conduct of Jefferson Lab business shall be factual, fully substantiated, and verifiable.

It is essential to maintain accurate timekeeping and expense records, making sure to:

- Record and allocate charges for time, materials and other business-related expenses to the proper charge number.
- Check all invoices and payments to customers, consultants and suppliers to confirm the accuracy of information relating to products, services, prices and terms of sale.
- Submit complete, accurate and current cost or pricing data in all contract proposals. (See Finance Policies and Procurement Policy:  
[http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/400/401.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/400/401.html)  
[http://www.jlab.org/div\\_dept/admin/business/procurement/Acquisition\\_Policy\\_Manual\\_Rev\\_1\\_01\\_29\\_2007.pdf](http://www.jlab.org/div_dept/admin/business/procurement/Acquisition_Policy_Manual_Rev_1_01_29_2007.pdf))

## PROVIDING A PROPER, PROFESSIONAL AND SAFE WORK ENVIRONMENT

Use fairness, honesty, and comply with the law in all business relationships with Jefferson Lab stakeholders, collaborators, suppliers, subcontractors, employees, and applicants, as well as with local, national and international communities and governments.

Do not take unfair advantage of anyone through manipulation, concealment, abuse of privileged information, misrepresentation of material facts or any other unfair dealing practice.

Observe Human Resources management practices including, but not limited to, those regarding recruitment, selection, job assignment, transfer, promotion/demotion, layoff, return from layoff, discipline (including termination), training, education, tuition, social and recreational programs, compensation and benefits.

Do not engage in or permit harassment of Jefferson Lab employees for any reason by other employees, vendors, collaborators or anyone else with whom Jefferson Lab employees come into contact in the course of their Jefferson Lab business activities.

Honor the prohibition from possessing, using, distributing, manufacturing, purchasing, dispensing or selling illegal substances. Because these actions are illegal and counterproductive to our business interests, they will not be tolerated on Jefferson Lab premises either during scheduled work periods or at any time while conducting Lab business.

Alcohol abuse will not be tolerated, either on Jefferson Lab premises during scheduled work periods or at any time while conducting Company business. Reporting to work under the influence of controlled substances, alcohol or unauthorized alcohol consumption in the workplace is prohibited.

Work safely and establish and maintain a knowledgeable control of all hazards. Report all ESH&Q violations or concerns in accordance with ES&H Reporting procedures; to include, declaring a stop work order for conditions that pose an imminent hazard or danger. (See Jefferson Lab Safety Toolbox and ES&H Manual: <http://www.jlab.org/ehs/ehsmanual/index.html>)

This Code of Ethics and Standards of Conduct is composed in part and incorporates by reference (in their entirety) the following Jefferson Lab policies:

1. Employee Performance and Conduct Policy including: Standards of Conduct, Conflict of Interest, Sexual Harassment, Workplace Substance Abuse Program, Solicitation Policy, ES&H Policy, Computer and Networking Use Policy and Outside Employment Policy found at: [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/200/208.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/200/208.html)
2. Property Management Policy found at: [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/300/302.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/300/302.html)
3. Finance Policies found at: [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/400/401.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/400/401.html)
4. Procurement Policy found at: [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/500/501.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/500/501.html)
5. Intellectual Property Policy found at: [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/700/701.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/700/701.html)  
and [http://www.jlab.org/div\\_dept/admin/HR/Admin\\_Manual/700/702.html](http://www.jlab.org/div_dept/admin/HR/Admin_Manual/700/702.html)

# Communicating with JSA/Jefferson LAB

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Obtain the information necessary to follow the directives in this Code of Ethics and Standards of Conduct, and report any observed deviations from policies.

The Jefferson Lab policies and Government rules and regulations referred to in these Standards and the Jefferson Lab specific Ethics and Standards of Conduct are available online.

Jefferson Lab fosters a free interchange between employees and all levels of management through its open door policy. Jefferson Lab employees are encouraged to contact their immediate supervisor to report or resolve a problem, but are free to contact higher levels of management if necessary.

If you have reason to believe that a violation of this Code of Ethics and Standards of Conduct, or any other company policy, has occurred or is likely to occur, it is your obligation to report such violation or potential violation to at least one of the following:

- Your supervisor;
- Your department or function head;
- The Human Resources organization;
- The Jefferson Lab Ethics Officer; or
- Jefferson Lab Employee Concerns Hotline: 1-888-296-8301 or the Jefferson Lab Employee Concerns Web Site: <http://www.jsaecp.ethicspoint.com>.

Anything that arises as an ethics concern (fraud/waste/abuse/ethics/conflict of interest/harassment, etc.) is logged into the Ethics Reporting System, Ethicspoint, for transparency and tracking purposes.

The Ethics Officer has the responsibility and autonomy to escalate concerns as well as anything that would violate a federal law, to include the False Claims Act, or involves potential ethics violations by any senior manager to the Lab Director or JSA Board.

If you have questions or complaints regarding accounting, internal accounting controls or auditing matters you should follow the same procedure.

If you choose to identify yourself in the course of reporting a violation or potential violation, or communicating a question or complaint:

- Retaliation against you for reports or communications made in good faith will not be allowed; and
- Your identity will be kept confidential to the maximum extent possible, consistent with Jefferson Lab's obligation to fully and fairly investigate all matters raised.