



**International Institute for Astronautical Sciences
Code of Business Conduct and Ethics 2020**



Introduction

The International Institute for Astronautical Sciences (IIAS) is committed to conducting business in compliance with all applicable laws, rules, and regulations, and in accordance with the highest standards of business ethics. IIAS strives to create a productive, safe, respectful, and fair working and learning environment. This *Code of Business Conduct and Ethics* (“Code”) alerts IIAS participants, employees, students, volunteers, partners, and affiliates to areas of ethical risk, and provides guidance and information to help recognize and deal with concerns.

Anyone can elevate questions, concerns, or allegations without fear of retaliation.

If you see something, say something.

All individuals involved with IIAS must agree and sign that they will adhere to this *Code*. Feel free to contact Dr. Reimuller or send an email to ethics@projectpossum.org if you have any questions pertaining to this document.

As IIAS participants, employees, students, volunteers, partners, and affiliates are responsible for adhering to the organization’s professional and ethical standards while complying with IIAS policies, procedures and applicable contractual and legal requirements. The *Code* cannot and does not anticipate every possible situation that could arise in the course of business, science campaigns, or education efforts; therefore, you must use good judgement in adhering to these standards. Anyone who violates this *Code*, permits a peer or colleague to do so, or fails to promptly inform a supervisor, Director, or Educator of a known violation will be subject to disciplinary action.

Our actions must consistently demonstrate that we fairly, respectfully, and truthfully deal with our peers, students, educators, colleagues, clients, vendors, and partners. This ethical standard demonstrates to all collaborators that IIAS can be trusted to do the right thing when managing their resources and that IIAS is a worthy partner as they seek to realize their professional and scientific missions.





Statutes

The IIAS International Statutes require participants, employees, students, volunteers, partners, and affiliates:

A. to act in accord with the statutory requirements of respective countries where IIAS conducts business, citizen science campaigns, and hosts education efforts;

B. to exercise all due and proper responsibility in all financial matters, including accuracy of fundraising and application of funds in pursuance of the organization's stated objectives; and

C. to employ responsible media, social media, and marketing techniques; promotion and advertising must be truthful, accurate, and be approved by the IIAS Director, Dr. Jason Reimuller.

Integrity

At IIAS, we comply with the rules and do the right thing.

Preventing Fraud

Fraud is falsifying or withholding information for personal or financial gain. Examples include, but are not limited to:

- Falsified travel vouchers, invoices, time sheets, receipts, or research data;
- False certifications or information on qualifications;
- False property or scientific equipment records;
- Excessive purchases diverted for personal use.

IIAS' policies, procedures, and professional management of staff are designed to minimize vulnerability to fraud in financial transactions, research results reporting, scientific outcomes, publications, grant awards, and the procurement of goods and services. You are responsible for assisting IIAS to prevent fraud by:

- Ensuring financial, procurement, and grant-related transactions accuracy and completeness of information;
- Ensuring documents in support of qualifications are accurate;



- Asking questions regarding documents, certifications, and performance, especially when you suspect inconsistencies;
- Independently verifying information or spot-checking information in results reports or publications;
- Assuring physical control and inventory of physical assets;
- Regularly assessing risks and revising policies and procedures as necessary; and
- Completing ethics training, regularly discussing ethical issues with direct reports, and sharing best practices and concerns to reinforce an organizational culture of ethical behavior and compliance.

Preventing Bribery and Corruption

You must avoid any activity that would breach the Foreign Corrupt Practices Act (FCPA), local law, or international standards of best practice. You are responsible for assisting IIAS to prevent bribery and corruption:

- **Bribery.** Do not directly, or indirectly, solicit, accept, offer, promise, or give a bribe or other improper payment, gift, favor, or hospitality to obtain or retain business, approvals, or other improper advantage.
- **Facilitation Payments.** Do not make small payments to facilitate approvals or actions on the part of government officials. Facilitation payments are prohibited. Under certain circumstances, IIAS may pay for the commercial services of an expeditor to process goods through customs. The terms of reference in the associated contract must be explicit and must prohibit payments to facilitate approvals on the part of a government official.
- **Kickbacks.** Never ask for or accept anything of value from vendors, suppliers, or contractors who do business with IIAS. You may accept gifts and hospitality of nominal value (a meal offered during the course of a business meeting, for example, or a notepad with an organization's logo on it).
- **Gratuities.** Never pay or provide gifts, favors, or hospitality to a government official after you receive a favorable action or decision.



Confidential Information?

If your answer to any of the following questions is “yes”, the information is confidential and should be protected:

- Is this information a trade secret?
- Would IIAS be disadvantaged or harmed if others knew this information?
- Would your science or research be jeopardized if the information was not held in confidence?
- Does the information include personal identification that may jeopardize an individual's privacy?

- **Contributions.** Do not make contributions to candidates for public office or to political parties or other political organizations on behalf of IIAS.
- **Hospitality, Nominal Gifts, and Honoraria.** IIAS-approved advertising items of nominal value (pens, hats, lapel pins, patches, tee-shirts, and so on), plaques, and certificates of recognition may be offered to government officials. Modest meals, refreshments, and non-alcoholic beverages in accordance with local customs and practices are also allowed. However, in no event should the value of the courtesy exceed \$20 per person/per occasion or \$50 per person annually. Honoraria to host government officials must be nominal and occasional for work outside normal duties and working hours to avoid conflicts with official duties.
- **Awareness.** Promote training and practices that raise awareness among our partners and affiliates of the global fight against bribery and corruption.

Making the Right Decision and Documenting It

Ethics is the foundation of successful performance. While it may sometimes appear tempting to take short-cuts for the sake of expediency in the pursuit of project goals, this can be avoided with timely and proper planning. If you *are* confronted with an urgent problem that appears to necessitate making an exception to an IIAS policy, immediately consult with a senior manager and the IIAS Director. Do not delay in documenting the reasons for the policy exception, making sure to describe the issue, circumstances, and outcome of the decision.

Protecting Information and Data

You must be vigilant in protecting proprietary and confidential information obtained in the performance of IIAS work and research. Any information which, if released, would have an adverse impact on an individual's privacy or a business/organization's competitiveness, or on client programs or their foreign relations, is considered proprietary or confidential and must be controlled and restricted. Examples of proprietary or confidential information include non-public research-sensitive information, financial reports, financial performance documents, financial plans, medical and personal information, and any IIAS proposal details. You may not disclose any non-public information related to a client, partner, student, or participant for any reason. If you need to send confidential information outside IIAS, senior management written approval or a non-disclosure agreement may be needed.



Complying with International Trade Sanctions

Carrying and sending goods from one country to another is subject to the customs laws of the transit nations. Certain goods — such as science equipment, software, food products, chemical substances, and valuable items — can be subject to heightened customs and export controls. When you carry or ship items abroad on behalf of IIAS or for an IIAS citizen science campaign, do your research about the country of origin and the destination country. Make sure you only carry or ship goods abroad if you are sure there are no restrictions at either end of your itinerary. Questions can be directed to ethics@projectpossum.org or Dr. Jason Reimuller.

Responsibility

Your Duty to Seek Advice or to Report

When you encounter improper or questionable behavior or suspected violations of the *Code of Business Conduct and Ethics*, you are expected to consult quickly with your/a supervisor, Director, or Board of Directors member. Your concerns or allegations may be raised confidentially and anonymously—without fear of retaliation—through an email or in person. Timely notification permits IIAS to resolve issues expeditiously. Timeliness also permits IIAS to inform clients, partners, or affiliates of possible malfeasance that may require their involvement. If you fail to report suspected ethical violations promptly, you may be considered culpable and you may jeopardize IIAS' ability to quickly and appropriately respond to the issue.

Training Requirements

Periodically, you will be required to take the IIAS ethics training, and provide a written certification that you have reviewed, understand, and agree to comply with IIAS' *Code of Business Conduct and Ethics* and that you are not personally aware of any violations of the *Code* by others. This certification is your pledge to honor and fully comply with the *Code's* provisions. You are subject to disciplinary action, up to and including expulsion from programs, termination, or persona non grata status if you fail to do so.

Escalation Process

1. Consult with a supervisor or Director

2. Management Review

3. Investigate and respond

4. Disclose to client, partner, involved parties

5. Resolve and report



Your Responsibility

You should feel safe in reporting concerns and/or allegations, and confident that IIAS will respond appropriately. You can, and should, make decisions and take actions on issues when it falls within your authority to do so. When you see something, say something.

You are also responsible for:

- Following IIAS *Code of Business Conduct and Ethics*;
- Taking ethics training and participating in supplemental reviews and meetings to ensure that you are fully aware of the issues involved;
- Notifying your supervisor, senior leadership, Executive team member, Board member or the formal ethics@projectpossum.org email if you suspect fraud, conflict of interest, bribery, facilitation payments, kickbacks, gratuities, other corrupt practices, or any violation of the *Code*; and
- Seeking assistance or clarification to avoid unethical or illegal conduct prior to taking a questionable action.

Your Responsibility as a Leader

If you are an IIAS manager, supervisor, educator, Executive team member, or Board member, you are responsible for ensuring that your team, students, volunteers, and peers understand and follow the *Code of Business Conduct and Ethics*.

You must establish and maintain a culture in which all participants feel comfortable doing what's right and uncomfortable doing wrong. Make yourself available for questions and elevate ethical issues or allegations immediately to the proper level.

Leaders must be ethical role models, demonstrating integrity, accountability, and respect for everyone, and regularly communicating IIAS' expectations for ethical conduct while professionally and personally supporting these expectations.



Safe, Secure, and Healthy Environment

The safety and security of our participants, employees, students, volunteers, partners, and affiliates, are our top priorities.

IIAS will ensure that appropriate arrangements, processes, and procedures are in place to provide this secure environment, taking into account the operating environment and level of risk involved in the performance of the science and research. You are expected to be alert to your surroundings to avoid vulnerable situations. You must immediately report any threats or incidents in accordance with procedures established for each individual campaign or education effort.

IIAS is committed to providing a learning environment free from illegal drugs, violence, threats of violence, and the influence of alcohol. The illegal use, sale, purchase, transfer, or possession of any controlled substance while conducting IIAS business, science, and/or research is strictly prohibited. We all have a duty to comply with health and safety rules. Any violations, accidents, or injuries should be promptly reported to management.

Respect and No Harassment

IIAS' diversity is essential to its success as an institute. We treat others as we would like to be treated ourselves. We value each other's work, research, and roles within the organization. This respect builds trusting relationships that promote teamwork and nurture an organizational climate that is fair, supportive, and responsive. We recognize that our words and actions are crucial to maintaining this professional environment.

IIAS is committed to maintaining an environment where all participants feel respected, valued, and free of harassment. Our team is dedicated to providing a harassment-free experience for participants regardless of gender, age, sexual orientation, gender identity, disability, physical appearance, body size, race, religion, or other protected status. If you have any questions or concerns about possible discrimination or violations of the equalities policy, please email ethics@projectpossum.org or contact Dr. Jason Reimuller.



Zero Tolerance and No Sexual Harassment

IIAS is intended for professional education, research, training, science, and collaboration. While at IIAS-managed trainings, science campaigns, meetings, or related ancillary or social events, any participants, including speakers, professors, educators, attendees, volunteers, sponsors, staff, students, partners, and anyone else, should not engage in harassment in any form.

All participants, employees, students, volunteers, partners, and affiliates are expected to behave according to professional standards and in accordance with IIAS policies on appropriate workplace behavior.