Guideline on Good Governance and Professional Practices for Organizations and Personnel of the National Quality Infrastructure
ACKNOWLEDGEMENTS

Good governance is defined by the World Bank as “the manner in which power is exercised in the management of a country’s economic and social resources for development”.

The Guideline on Good Governance and Professional Practices for Organizations and Personnel of the National Quality Infrastructure can help national institutions to build a strong basis for their effective functioning. It intends to guide their professional work within a framework of integrity, objectivity, confidentiality, professional behavior and due care. It covers the areas of standards development, testing, auditing, inspection, accreditation, conformity assessment and consulting in Nigeria. The Guideline provides samples of tools, forms and checklists that can be used to manage and monitor its implementation within a national Institution.

This Guideline is the result of a collaborative effort presented to the quality infrastructure institutions in Nigeria and the professionals working in them. In order to prepare the document, a national workshop was held in Abuja with the participation of about 60 experts and professionals from different institutions and entities from the quality infrastructure.

The development of the Guideline was led by the National Quality Infrastructure Project (NQIP) for Nigeria. This project is funded by the EU and implemented by UNIDO in coordination with the Federal Government of Nigeria. The overall objective of the NQIP, which is one of the three components of the EU private sector Support Programme, is to support the enhancement of the national quality infrastructure. Its purpose is to improve the quality, safety, integrity and marketability of Nigerian goods and services and remove technical barriers to trade by having an adequate, effective and sustainable National Quality Infrastructure (NQI) in place, consistent with international and regional principles and practices.

“To achieve an equitable, inclusive and more prosperous future for all, we must foster a culture of integrity, transparency, and accountability and good governance”

Ban Ki Moon, UN Secretary General (International Anti-Corruption Day, 2013)
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1. INTRODUCTION

The objective of this Guideline is to strengthen the capacities and awareness of Nigerian institutions in order to highlight the importance of ethical, professional, and good governance practices for the development of NQI.

This Guideline reflects the Nigerian federal character and the distinctive desire of the people of Nigeria to promote national unity, foster national loyalty and give every citizen of Nigeria a sense of belonging to the nation, notwithstanding the diversities of ethnic origin, culture, language or religion that may exist, and which it is their desire to nourish and harness for the enrichment of the Federal Republic of Nigeria.

The Guideline assures the federal character principle of fairness and equity in the distribution of public posts and socioeconomic infrastructures among the various federating units of the Federal Republic of Nigeria.

2. PURPOSE OF THIS GUIDELINE

The purpose of this code of good practices is to promote the different activities of the national quality infrastructure (standardization, conformity assessment, quality, metrology, consumer protection, etc.) and the associated professions of inspection, auditing, testing, consultancy and training through the observance by the professionals of the principles and rules of ethical conduct.

The code presents a number of principles and values on which this conduct is based and defines the aspects of the ethical professional conduct in different areas of the quality infrastructure, as well as the internationally accepted guidelines with a view to avoiding unacceptable practices and correcting them if they occur.

3. REFERENCES

3.1 International Organization for Standardization (ISO) Code of Conduct for the Technical Work

3.2 ISO/IEC Guide 2 – Standardization and related activities – General vocabulary

3.3 ISO/IEC Guide 59 – Code of Good Practice for Standardization

3.4 ISO/IEC Guide 60 – Conformity Assessment – Code of Good Practice

3.5 ISO/IEC 17025 – General Requirements for the Competence of Test and Calibration Laboratories

3.6 ISO 26000 – Social Responsibility
4. **SCOPE**

This Guideline applies to professionals who practice or participate in the activities of development and publication of standards, conformity assessment, quality, consumer protection and metrology including:

4.1 Technical secretariats of technical committees active in standards writing and the chairpersons and members of those committees.

4.2 Directors of standards departments of standards bodies.

4.3 Inspectors and auditors who work for inspection and auditing bodies.

4.4 Professionals of product certification bodies.

4.5 Professionals of management systems and personnel certification bodies.

4.6 Professionals of testing and calibration laboratories.

4.7 Professionals of accreditation bodies, of laboratories and certification bodies.

4.8 Associations and societies that represent personnel who perform inspection, or auditing, and/or provide consultancy in the fields of quality infrastructure (including consumer protection).

4.9 Regulators.

It is worth mentioning that many contributions to the work of standardization are provided on a voluntary basis. It is recommended that all interested parties should be made aware of the national laws and regulations that govern standardization activities in the country.

5. **THE CONTEXT OF SUSTAINABLE DEVELOPMENT**

The institutions active in the fields of quality infrastructure play a crucial role in sustainable development. Standardization, conformity assessment and accreditation apply to the fields of protection of the environment, management of natural resources and other fields of management, social responsibility, security of information and sustainability.

These institutions should therefore be able to foresee changes in society and the environment and be capable of rapidly responding to them.

- In the area of standardization, it is necessary to promptly prepare and develop the standards needed to guide the activities of sustainable development such as environmental management systems, energy management, greenhouse gases evaluation and measurement, reduction of emissions and others.

- Bodies active in the field of conformity assessment should provide the services needed for this field such as certification of environmental management systems, environmental performance evaluation, evaluation of greenhouse gases and other emissions, as well as assessment of social responsibility management systems. Accreditation bodies should provide accreditation services for the certification, testing and calibration bodies in these areas.

- In the field of metrology the necessary reference standards should be provided to ensure reliable measurements in the fields of energy, pollution and emissions.
6. TERMS AND DEFINITIONS

6.1 Code of ethical conduct: a document that defines the basic principles that should be applied in formulating the rules of conduct for a particular profession. Based on these principles the code defines the rules of conduct in the different circumstances in which professionals work, as well as unethical practices and how they can be avoided, controlled and/or corrected.

6.2 Standard: a document established by consensus and approved by a recognized body that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

Note: The implementation of standards is voluntary; however, standards may become mandatory by regulation.

6.3 Technical regulation: a document established by an authorized ministry or governmental department that defines the mandatory technical rules that should be applied in a given field.

6.4 Conformity assessment: any activity concerned with determining directly or indirectly that relevant requirements are fulfilled.

Note: Requirements may be defined in purchase specifications, technical regulations, national or international standards. Conformity to requirements is demonstrated through measurement, testing and/or inspection and/or auditing and/or certification.

6.5 Accountability: ability and readiness of standards and conformity assessment bodies to be held accountable before governance bodies, the judiciary, interested parties and society at large.

6.6 Competence: capability of performing a given assignment or task.

Note: Competence is achieved through knowledge, skill, experience and continuous professional development.

6.7 Consumer: a member of the public acquiring products and services for his own consumption.

6.8 Credibility: the attribute enjoyed by a person or an entity whose declarations are readily believed by concerned parties.

Note: Credibility can be achieved through being consistently truthful and honest as expected by the party issuing the assignment or by society at large.
6.9 **Environment**: the surroundings in which people live (including air, water, soil, natural resources, plants, animals and people) and in which standards bodies, conformity assessment and quality institutions are active.

6.10 **Environmental impact**: any change in the environment whether useful or adverse, partial or total.

6.11 **Ethical behavior**: behavior that conforms to the accepted principles of behavior in a given context.

6.12 **Impartiality**: not favoring any party or parties or providing particular treatment to them.

6.13 **Policy**: general guidelines and decisions adopted by standards, conformity assessment and quality bodies.

6.14 **Ethical principles**: a set of principles and rules that should be observed when practicing a particular profession in order to provide credibility, control and correct wrongful practices.

6.15 **Product**: an object offered on the market that is the result of an activity or a process.

6.16 **Service**: result generated by activities at the interface between the supplier and the customer to meet customer needs.

6.17 **Supply chain**: the chain along which products and services move from one manufacturer or service provider to another while a value is being added to them. The outputs (products or services) of one manufacturer or service provider become the inputs of the next one in the supply chain.

6.18 **Sustainable development**: development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

6.19 **Transparency**: clarity of actions and effects and the intention of making the connection between them clear for all concerned parties.


6.21 **Governance**: system of decision-making and control of entities (including standards and conformity assessment bodies) with a view to achieving its goals.

6.22 **Ethics**: set of moral principles that are the basis of individual behavior, the personal search for wise action, personal position and/or personal voluntary acts. There are ethics based on conviction (rooted in the moral values of the individual) and ethics based on responsibility (which take into consideration the consequences of decisions and give room for negotiation and compromise).

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**7. GOOD GOVERNANCE OF QUALITY INFRASTRUCTURE BODIES**

The present rules and criteria have been prepared taking into consideration the principles of the Nigerian federal character, governance principles issued by the Organization for Economic Cooperation and Development (OECD) and the guidelines on social responsibility issued by the International Organization for Standardization (ISO). The present rules and criteria have been prepared with a view to defining and regulating ethical behavior related to the governance of institutions of the quality infrastructure in line with internationally accepted principles. These rules apply to governmental and non-governmental organizations.

Good governance does not mean the rigid observance of a set of rules and procedures and their interpretation in a literal manner, but it is rather a culture and a style of governing the relations between different stakeholders in a climate of transparency, rule of law and ethical behavior.

- The organization should define its stakeholders, its policies for involving them in the governance process and its approach to communicating with them.
- The organization should issue a “Declaration of Principles and Values” that represent the culture of the organization, including respect for the law, transparency, respect of human rights, honesty and respect of internationally accepted rules of conduct.
- The organization should endeavor to continually improve its management and operational systems with a view to improving competence and efficiency.
7.1 Institutional responsibility

Institutional responsibility is the responsibility of the organization for its decisions, activities and their results. The organization may be held accountable for these activities before official bodies and stakeholders, who benefit from its services such as standards, testing, certification and reporting. This responsibility has three dimensions: legal, ethical and societal. Moreover, it represents a responsibility of a national dimension.

Organizations should:

° Adopt international and establish national criteria for social responsibility;
° Include the principles and values of responsibility and accountability in their practices;
° Adopt a sustainability reporting initiative such as the Global Reporting Initiative in their work.

7.2 Inclusiveness

The Society for Human Resource Management (SHRM) defines inclusion as “the achievement of a work environment in which all individuals are treated fairly and respectfully, have equal access to opportunities and resources, and can contribute fully to the organization's success”.

NQI organizations should leverage the unique backgrounds and experiences of all employees to meet the needs of customers and to achieve business goals. Inclusion is the process of removing all the barriers to organizational competition thus allowing people who are different to compete equitably. In an inclusive organization, employees' skills and talents are recognized, used effectively and valued, and drive organizational success. Simply recognizing diversity in an organization helps link the variety of talents within the organization and allows for those employees with these talents to feel needed and have a sense of belonging, which in turn increases their commitment to the organization and allows each of them to contribute in a unique way. NQI organizations should adopt a policy of inclusiveness to ensure that:

° Demographic representation is on a par with the general population.
° Minorities and women feel included and challenged to improve professionally.
° Rules for promotion and career advancement are specified and clearly communicated.
° Benefits:
  ° better decision-making
  ° improved problem-solving
  ° greater creativity and innovation
  ° enhanced product and service development
  ° more successful marketing to different types of customers
  ° ability to compete in local and global markets
7.3 Risk management

Due to the nature of the processes of standards development, conformity assessment and accreditation, the institutions active in those fields should adopt a risk management approach in their practices in order to:

- Avoid impacts due to possible risks;
- Reduce those impacts, if they happen, and adapt to their effects;
- Practice risk management by:
  - Defining possible risks
  - Classifying them by their level of impact and their relatedness
  - Plan for preventive actions
  - Promote awareness of risk avoidance

7.4 Internal audit

The organization should have a system of internal audit prepared jointly by the board of management and the managers of the organization. In the absence of such a system, management should explain the reasons to the general assembly. The internal audit should be administered by an independent administration within the organization staffed by qualified auditors.

Internal audits are intended to evaluate risk management procedures and the implementation of good governance principles and rules in an effective manner. Procedures for internal audits should be established based on a study of the risks faced by the organization and should be updated regularly together with reassessment of the risks.

7.5 Transparency

At least once a year, the management of the organization should declare to stakeholders (owners, users of its services and staff), inter alia, its policies concerning the environment, social responsibility, occupational health and safety.

- The declared policies should be unambiguous, and should make clear the intentions of the organization concerning its plans to develop the workforce, and its social care programs.
- The policies of the organization should conform to laws and should have the welfare of its employees and the development of the surrounding community as one of its goals.
- The organization should establish relations with its surrounding community, its suppliers and its clients, based on credibility, mutual benefit and transparency in a way that does not conflict with the obligations of the organization, its management and employees to keep the confidentiality of commercial information.

◆ Implementation of transparency rules

- The organization should appoint an employee responsible for the implementation of “Transparency Guidelines” and their updating.
- The responsible employee/manager should diffuse the guidelines and train employees in their implementation.
- The responsible employee/manager should follow up the implementation of the guidelines and report to the board of management on the degree of their implementation by the organization.
- All employees are responsible for the implementation of the guidelines and they should sign a declaration to that effect.
7.6 Fight against corruption

Administrative corruption is a commonly used term for all crimes of abuse of public office or theft of public money. Administrative corruption is more explicitly defined as "abuse of the authority vested in a particular administrative position with a view to achieving personal gain to the detriment of public interest", according to Transparency International. It is also defined as "improper bureaucratic conduct with the goal of achieving personal gain in an illegal manner".

The common definition of “bribe” is “abuse by a public officer of his position by asking for or accepting compensation for performing or not performing a duty required by his position”, according to Transparency International.

The opportunities for corruption exist not only in relations with the public sector but can also exist in relations with the private sector. Laws make bribery of employees in the private sector a crime as well.

- Employees of an organization should report any relations with the organization outside the limits of their work, if those relations affect or seem to affect the ability of the employee to make unbiased work decisions.
- In order for shareholders, members of the board of management or their families to enter into any commercial relation with the organization, prior agreement should be obtained from the competent administrative instance (board of management or general assembly).
- Any relations with the organization should be in line with the rules of professional conduct applicable in the organization – in particular, rules related to buying, selling or supplying products or services.
- Procedures explaining how to deal with gifts received should be drafted and made available to employees.
- Employees should not seek to work for another party directly or indirectly with or without compensation, since this may cause a conflict of interest with the organization.
- Generally, employees may not accept gifts, donations or valuables (including invitations to banquets) from present or potential clients or suppliers, especially in conditions where it seems that the reputation of the organization may be jeopardized. Similarly, they may not allow close family members to accept gifts, services, loans or any preferential treatment from clients or suppliers as the price for a past, present or future work relation with the organization.
- Presents may be accepted, if refusing them may seem an impolite act, and, if the gifts are not in cash, and have only a symbolic value or are “reasonable” invitations to banquets such as those where the donor is present. In some cases it may be more appropriate to hand over the present to the organization’s management to be used on occasions celebrated by the employees.
- All gifts should be declared in writing to the management irrespective of their value.

7.7 Gender equality: A cornerstone of development

- Gender equality is, first and foremost, a human right.
- Women are entitled to live in dignity and in freedom from want and from fear.
- Empowering women is also an indispensable tool for advancing development and reducing poverty.
- Organizations should undertake a series of measures to end discrimination against women in all forms, including incorporating the principle of equality of men and women in their governance system, abolishing all discriminatory policies and adopting appropriate ones prohibiting discrimination against women.
8. GENERAL PRINCIPLES

Promoting professional conduct is based on two main principles: 
**competence** and **integrity**. 
**Competence** is achieved through continual knowledge and professional development, while **integrity** is demonstrated through adherence to the ethics of professional conduct. 
In any profession certain general principles of professional conduct exist. They should be strictly adhered to by professionals in order to achieve trust and credibility.

In the area of standardization, accreditation and conformity assessment, activities such as the publication of a standard, the granting of a certificate of conformity of a system or a product, the issuance of test reports, the granting of certificates of successful completion of training, the accreditation of a laboratory or a certification body should be carried out in a transparent manner by impartial and objective professionals.

The following guidelines highlight the principles of ethical professional conduct that should be adhered to by organizations active in these fields as well as by their employees.

8.1 Principles and practices of standards development and technical regulations

**Standards** are based on the consolidated results of science, technology and experience and represent the best solutions in a particular context. Standards contribute to safeguarding the health and safety of consumers, protection of the environment, the facilitation of trade, the quality assurance of products and services, the transfer of technology, the upgrading of production and the improvement of efficiency.

Standards have gained high stature in economic and social fields thanks to their development by consensus of all interested parties, their transparency, and through being issued by recognized and respected bodies.

**Technical regulations** are issued by government ministries and departments responsible for safeguarding the health and safety of citizens, protecting property and the environment and for fraud repression. Technical regulations are usually established in cases where authorities consider that matters cannot be left to the voluntary implementation of standards by persons and organizations. Normally, technical regulations are issued in the framework of a law that defines the rules that should be observed in a particular domain and defines the non-permissible situations and practices accordingly.

Voluntary standards and mandatory technical regulations are closely related. Those responsible for establishing technical regulations often use standards as a basis for their work. A standard may be adopted fully or partially as a mandatory technical regulation.

In order to establish and maintain the high stature of standards, it is necessary to set the rules of ethical professional conduct in the field of their preparation and publication. This would ensure obtaining and maintaining trust in standards by interested parties and the public at large. Professionals active in the field of standards development should adhere to this ethical professional conduct. Where organizations officially responsible for standards development entrust other organizations with the preparation of standards, the responsible organization should request the entrusted organization to apply the same rules of conduct.

Ministries and government departments that establish technical regulations should endeavor to use standards as a basis for the development of these technical regulations whenever that is possible. They should consult the persons and entities that will be affected by the technical regulations before their issue and should deploy all possible efforts to mitigate any negative impact of technical regulations while ensuring the achievement of their goals.

In view of the important potential economic impact of technical regulations and the possibility that they could negatively affect certain production units more than others, those responsible for their development should be fully impartial and honest and should have no personal interest in the subject of the technical regulation.
This part of the code should be applied by:

- Professionals and decision-makers active in the field of standards development (technical secretariat – chairpersons and members of technical committees – managers of technical departments – the secretariat and members of the board of management of the standards organizations);
- Professionals involved in activities directly related to standards (publication – distribution – consultancy – implementation – information);
- Professionals active in the field of setting mandatory technical regulations.

First principle: Transparency

This principle implies the following:

° Provision of basic information (including subjects proposed for standardization, work programs, procedures for the technical work, draft standards and standards in their final form, draft technical regulations and technical regulations in their final form) in a convenient form that facilitates their understanding by interested parties.

° Allowing sufficient time and the opportunity to provide comments by interested parties while at the same time requesting the observance of deadlines.

The adherence to this principle requires that professionals active in these fields should as a minimum:

1. Request all interested parties to make proposals for the inclusion of subjects for standardization in the “Work Program” of the standards organization. This request should be sent out in a suitable manner and at a sufficiently early stage. It should be made clear that proposals may include new standards for products and services and/or the revision or updating of existing standards. The request should mention strategic goals and priorities that could guide the proposer. It should emphasize that proposals must represent the real needs of the proposer.

2. Collate the received proposals, evaluate and prioritize them according to approved strategies and available resources.

3. Include representatives of the essential interested parties in technical committees and consult with other interested parties at all important stages of standards development.

4. Make available to all members of the technical committees the references and documents related to the subject of the standard being developed, and provide to them work schedules and procedures. Personal data of the members of committees should be made available (names, positions and contact data).

5. Make the draft standards available to interested parties outside the committee and allow enough time to comment on them. Draft standards that have great significance/impact for the general public should be circulated as widely as possible.

6. Make the draft technical regulation available to parties that may be affected by regulations and allow enough time to comment on it.

7. Provide all comments received on the draft standard to the technical committee for consideration. Present comments and discuss them at all subsequent stages of the standard’s development.

8. Take into consideration the comments received on draft standards and draft technical regulations when preparing the next version of those documents.

9. Keep a record of the process of standards development.

10. Publish a list of adopted standards as soon as they are approved, indicating their degree of correspondence to international and regional standards according to the rules given in ISO Guide 21.

11. Publish information about the standards of interest to the users (price, number of pages, technical regulations based on standards, withdrawn and modified standards).

12. Promptly make published standards available by selling them or by allowing interested persons to read them in a suitable place (such as the library of the National Standards Body).

13. Make available the text of technical regulations and details related to how to demonstrate conformity to them through selling them or making them available in the library of the National Standards Body.
14. Raise public awareness of the role of standards and quality by including their concepts in the curricula of general education.

Note: Using electronic information techniques is a useful and convenient way of providing information on standards and technical regulations in a timely manner. However, consideration should be given to the difficulty some individuals or small enterprises may have in accessing information provided electronically. It is therefore important to make these documents available as hard copy, if requested.

Second principle: Effectiveness and suitability

This principle implies the following:

- Standards and technical regulations should achieve their expected goals;
- They should be suitable for their purpose and have no negative effects;
- Priority in standards development should be given to the needs of the local market;
- Standards should correspond to market needs and technological development and help local enterprises become innovative and competitive.

The adherence to this principle requires that professionals active in these fields should as a minimum:

1. When preparing the “Strategic Plan for Standards Development” take into consideration market needs, priorities of the national economy, the regional economy and global trends.
2. Make necessary preparatory studies for the draft standard reflecting the real needs and take into consideration anything that may affect the effectiveness and suitability of the future standard.
3. Technical committees that develop standards should:
   - Adhere to the rules for standards development approved by the standards body.
   - Ensure that members adhere to truthfulness and realism in representing their entities.
   - Adhere to the principles of dialogue, transparency and open discussions. Members should be willing to accept the opinion of other members. This would facilitate reaching consensus on technical matters.
   - Distribute and negotiate roles between members in a fair manner taking into consideration the competences of each member in order to achieve objectives in a timely manner.
   - Use the time available for committee meetings efficiently.
   - Persevere in solving problems through cooperation and make the necessary decisions that would ensure that no problems would occur at the implementation stage as a result of a lack of attention or laxity at the preparation stage of the standard or the technical regulation.
5. Thoroughly study the most recent references, in particular international standards, to ensure that the standard becomes a tool for technology transfer and that its implementation does not have a negative impact on the national economy.
6. Review standards periodically to identify ineffective or inappropriate standards and replace them with new standards.
7. Allow enough time in a transitional stage to permit efficient application of mandatory regulations when technical regulations are issued based on standards.
8. Formulate standards and technical regulations in a clear language that is easy to understand and does not mislead the user or the consumer. Limits should be clearly stated in a way that does not allow misunderstanding; clauses should be arranged in a way that facilitates implementation.
9. Ensure that standards are circulated for commenting to the largest possible number of interested parties whose comments would be effective in developing the standard. It is recommended to upload the draft to the internet to ensure the widest possible circulation.
10. Observe the highest level of precision in the final formulation of the standard after approval to avoid any changes in content or the inclusion of mistakes that would prevent implementation.
11. Follow up implementation to identify problems and follow up new developments in order to maintain the effectiveness of the standard and modify it, if necessary, in a timely manner.
Third principle: Openness

This principle is applied if participation by all interested parties is ensured and a proper balance is maintained between the different groups such as manufacturers, buyers, consumers, academics and civil society. This participation should begin at the stage of policy setting and continue in all the subsequent stages of standards development.

Adherence to this principle requires that professionals active in these fields provide all interested parties with the opportunity to participate in a balanced manner in the following stages:

° Proposal and approval of new work items (preparation of a standards development plan);
° Technical committee work;
° Proposal of subjects for technical regulations;
° Commenting on circulated drafts;
° Consideration of received comments and their inclusion in the draft standard or technical regulation as long as they help to make the text more complete and clear;
° Approval of the standards and their issue;
° Providing access to the published standards and technical regulations.

Fourth principle: Consensus

This principle is ensured by allowing all interested parties to express their views and by endeavoring to harmonize conflicting views.

Adherence to this principle requires that professionals should as a minimum:

° Identify the points of agreement;
° Concentrate discussions on points of divergence in order to achieve consensus;
° Persevere in making every possible effort to achieve acceptance of conflicting views;
° Establish sub-committees to facilitate the work of technical committees;
° Be ready to compromise a part of their point of view to reach agreement, provided that this solution is technically acceptable;
° In case of differences, to refer to regional and international standards;
° Allow dissenting parties to state their technical proposals in writing.

Fifth principle: Coherence

This principle is applied by avoiding duplication between standardization work at national, regional and international levels.

Adherence to this principle requires that standards developers should as a minimum:

° Establish cooperation and coordination between the different technical committees during preparation of the Standards Development Plan (before the Plan is approved);
° Study subjects of a general nature that could be common to a number of standards (such as sampling – preparation of samples – test methods) and publish them as complementary standards to avoid duplication;
° Ensure good coordination between national and international standardization;
Examples of deviations from the code of ethical conduct and corrective actions to be taken

Despite every effort to avoid deviations from the rules of ethical conduct by applying the above principles, cases of deviation nevertheless still occur. This may be because of the many temptations to which professionals in this field are exposed when even a tiny contravention of standards can produce vast material gains.

Examples of deviations in the area of standardization and technical regulation are: giving unjustified priority to issuing standards and technical regulations for one type of product at the expense of other types; “fitting” a standard or a technical regulation to suit a particular type of product; unjustified strictness in the requirements for some aspects of a product at the expense of other aspects.

All this could give unjustified advantage to certain products and companies at the expense of others.

When a deviation from the rules of conduct is discovered, the behavior should be stopped immediately and the reasons for its occurrence studied. If the reason is a defect in the procedures, they should be modified. If the reason has to do with a personal error, repetition of the deviation should be prevented either by explaining the correct procedure if the error is unintentional or, if the error is intentional, by applying more strict measures.

8.2 Principles and practices of conformity assessment

Buyers of products and services – whether they are businessmen, who use them in their industrial or commercial activities or consumers, who buy them for their own use – expect that those products and services fulfill their expectations related to aspects such as quality, effectiveness, safety and economy of use, reliability, compatibility with other products and equipment, and environmental friendliness.

Determining that products and services conform to the requirements fixed in standards, technical regulations or purchase specifications – and would therefore fulfill buyers’ expectations as well as the expectations of responsible authorities – is known as conformity assessment.

8.2.1 Conformity assessment

First principle: Assurance of conformity

This principle implies:

- Carrying out testing, measurement and/or auditing in a comprehensive manner that provides assurance that the product or system conforms to requirements;

- Providing a written report to the requester that clearly defines the reference document (standard or requirements) with respect to which conformity assessment was carried out and the aspects of non-conformity, if any were found. A phrase should be added in the report stating that objections to the report can be made within a specified period of time;

- Keeping records of the process of conformity assessment for periods defined by the legal obligations of the conformity assessment body. Those records should, in particular, include examples of where a certificate might not be granted or could be withdrawn where authorization for the mark of conformity is terminated;

- Demonstrating the competence of the conformity assessment body by accreditation or peer evaluation.
Second principle: Integrity and impartiality

This principle implies carrying out conformity assessment with full professional integrity and impartiality of the different companies or bodies that present products or systems or personnel for conformity assessment and the entities that buy those products or use personnel or wish to ascertain the efficiency of those systems.

Third principle: Promptness

This principle implies:

° Carrying out conformity assessment promptly and treating different bodies equally from the point of view of promptness;

° Notifying the requesting bodies of the time needed to carry out conformity assessment;

° Quickly reacting to appeals concerning conformity assessment results and undertaking corrective actions immediately, if necessary;

° Undertaking preventive actions to avoid repetition of appeals of the same kind.

Fourth principle: Confidentiality

This principle implies not disclosing information related to the design of a product, manufacturing processes or quality or other information revealed to the conformity assessment body or its staff while carrying out conformity assessment at the premises of the requester of this service.

8.2.2 Inspection

Inspection should be carried out by qualified personnel, who possess considerable competence, experience, impartiality, objectiveness and precision. This would ensure the fulfillment of quality requirements, and continual improvement of production and personnel. Consequently, it would facilitate trade between countries, ensure good-quality goods and services, and safeguard the health and safety of consumers and the environment.

First principle: Impartiality and transparency

The inspector should be impartial and transparent. This would ensure fairness and trust. This principle can be applied by:

° Carrying out inspection in an honest way and based on scientific principles;

° Carrying out inspection in full compliance with legal procedures. The inspector may not consult with the entity being inspected;

° Keeping information about the inspected activity confidential;

° Not carrying out any activity that would harm or be in contravention of the ethics of the inspection profession;

° The inspector should have personal qualities/experiences that facilitate carrying out inspections according to the ethical practices of the profession.

Second principle: Objectiveness

Objectiveness of the inspector is one of the fundamentals of any inspection activity. Whether the object of inspection is a product or a system, the inspector should have full knowledge of the type of activity involved and should be aware of the latest information and techniques related to that activity. The inspector should request and receive all documents and information required for the inspection.
Third principle: Confidentiality

The inspector should not disclose to third parties any technical information obtained during the inspection except in response to court requests. This would ensure the protection of intellectual property related to the inspected product/service.

The inspector can gain the trust of personnel of the inspected entity provided that she/he demonstrates strict confidentiality and discretion in the use of the information obtained during inspection.

Fourth principle: Competence

Competence is one of the important elements of inspection. It means that the inspector has the appropriate knowledge and experience to carry out his work. This requires that the inspector continuously learns and receives specialized training in new techniques and trends in his field.

8.2.3 Auditing

The objectives of auditing according to the rules of professional conduct are to raise the level of auditing and to create a high culture of auditing in developing countries.

The following rules should be applied by professionals and entities that perform auditing.

<table>
<thead>
<tr>
<th></th>
<th>Obtaining the facts</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The auditor should adhere to strict ethical conduct and in this way obtain the trust of the auditee. This is the basis for obtaining the facts of the situation s/he is auditing.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Fair presentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>The audit report should reflect the true situation of the auditee. Any problems that occur during the audit should be reported. Any illegal activity revealed during auditing must be reported to the competent legal authorities.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Independence and use of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>The auditor should be fully independent of the activities s/he audits. The auditor should distance her/himself from any interest close to or intersecting with the activity being audited. The facts of the audit should be clear and recorded. Where the auditor has doubts about the validity of some audit data, s/he should professionally evaluate the data to make audit conclusions.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Clarity of objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Auditors should explain the objectives of the audit to the auditee. They may not directly or indirectly offer advice or proposals to the auditee.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Competence</th>
</tr>
</thead>
</table>
| 5 | **Competence is described as the result of knowledge, study, training, skills and experience.**  
Auditors should only audit in accordance with their area of competence.  
Auditors should make a conscious effort to improve their competence to provide professional auditing services. |

<table>
<thead>
<tr>
<th></th>
<th>Determination of the sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Due to limited time the audit can cover only a sample of the activities that are usually audited. The sample should be defined before carrying out the audit.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Confidentiality</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Auditors should not disclose any information about the client unless they have received written authorization or a judicial request.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Avoidance of abuse and discrimination</th>
</tr>
</thead>
</table>
| 8 | **The auditor shall not abuse the personnel of the auditee physically or verbally.**  
During the audit process the auditor should not practice any discrimination based on nationality, religion, color or any racial aspect. |

<table>
<thead>
<tr>
<th></th>
<th>Abiding by the law</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>In carrying out their work auditors should abide by applicable laws and other legal systems.</td>
</tr>
</tbody>
</table>
Personal attributes of auditors

- Ethical, fair, honest, sincere and truthful;
- Open-minded, capable of understanding alternative ideas and views;
- Diplomatic, capable of dealing with people;
- Observant, quick and understands her/his environment;
- Pragmatic, abides by the rules and is capable of understanding technical situations;
- Has full control of personal feelings;
- Focused and perseveres in seeking objectives;
- Specific, reaches conclusions based on logical analysis in good time;
- Reliable, capable of delivering as expected.

8.2.4 Testing, calibration and metrology services

The application of ethical rules of conduct in the field of testing, calibration and metrology services should increase confidence in and the credibility of these activities which in turn should:

- Facilitate the conclusion of mutual recognition agreements between laboratories (through accreditation);
- Facilitate the work of laboratories and their dealings with clients;
- Create trust and credibility.

General principles of testing, calibration and metrology services

- Impartiality and integrity of professionals active in test and calibration laboratories.
- Public and private laboratories should have a defined legal status.

Independence in judgment which is a precondition for obtaining trust.

Ensuring that test or calibration reports or certificates are not used in a deceptive manner.

Ensuring confidentiality of information received about clients as well as their intellectual property rights.

Information about test and calibration methods should be provided, if requested, by competent and experienced persons.

Guarantee client protection and ensure that the client is provided only with reliable information.

Maintain a complain registry.

Practices of testing, calibration and metrology services

<table>
<thead>
<tr>
<th>Practice</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laboratories</td>
<td>Laboratory employees should be carefully chosen so that they are free from commercial and financial pressures that may affect their performance.</td>
</tr>
<tr>
<td></td>
<td>Independence in judgment should be ensured at all times.</td>
</tr>
<tr>
<td></td>
<td>Recorded policy and procedures should be established to ensure client protection and the provision of reliable results.</td>
</tr>
<tr>
<td></td>
<td>Participate in proficiency testing between laboratories.</td>
</tr>
<tr>
<td>Evaluation and auditing</td>
<td>Results provided to clients should be verified; a verification mechanism should be established.</td>
</tr>
<tr>
<td></td>
<td>Rules of conduct should be established in case of non-adherence to test and calibration procedures.</td>
</tr>
<tr>
<td></td>
<td>Procedures should exist to safeguard credibility.</td>
</tr>
<tr>
<td>Personnel</td>
<td>Laboratories should ensure that their personnel are continuously trained in modern test and calibration methods.</td>
</tr>
<tr>
<td></td>
<td>Documentation should be kept on the competence, skills and training of personnel.</td>
</tr>
<tr>
<td>Test and calibration methods</td>
<td>If the methods used are not established standard methods, client consent should be sought. The methods employed should be registered and be available to the client and other concerned parties.</td>
</tr>
</tbody>
</table>

8.2.5 Certification and marking

Certificates are issued by conformity assessment bodies indicating the results of their work such as inspection, auditing, testing and calibration. Some organizations provide integrated services that include control of activities in a company, testing of its products to ascertain their conformity to standards and granting marks that indicate the quality of those products, their conformity to standards or the conformity of their quality management systems to standard ISO 9001. There are three types of certification: product certification, quality management system certification and personnel certification. There is a close relation between product certification and quality management system certification since integrated product certification systems usually require the existence of a quality management system in the company as a condition for granting a quality mark to products.

The general objective of product certification and marking and the certification of management systems is to provide to clients of the certified private entities, to government authorities and non-governmental organizations, to consumers and to the public in general, confidence in the quality and acceptability of products, competency of personnel and the management systems concerned.

General principles of certificates and reports

- Full identification of the certificate by indicating its number, date and validity period (date of next evaluation or test);
- If a certificate is issued with reservations, this fact should be indicated in the certificate and the reservations should be available on request;
- The results should be clear and unambiguous and should contain all the data specified by the method employed;
- Any deviation, addition or omission in the test method should be indicated as well as any other deviation from the environmental conditions specified for the test;
- If the certificate or report includes results of tests or calibrations performed in other laboratories, this should be indicated in the report given to the client;
- Data in the report or certificate should be well organized to facilitate reading and understanding;
- Additions to or corrections of the report or certificate should be issued as separate documents entitled “Addendum to Certificate N°…”;
- Where the client asks to be informed of test or calibration results by telephone or fax or another mode of communication, the laboratory should fulfill this request making sure that the results are communicated correctly and securely;
- If complaints or questions are received that raise doubts about the application by the laboratory of its policies and procedures or about the quality of tests and calibrations, the laboratory should immediately check and audit the activity concerned and the personnel who perform it.

First principle: Impartiality

Professionals active in product certification, marking, and management system certification should not enter into relationships (or should withdraw from relationships) that might negatively affect their impartiality vis-à-vis the entities being certified. Such relationships are, for example, being a partner in the ownership or management of those entities, being one of their employees, having a contract with them to do jobs such as design, manufacturing or installation of products, providing consultancy work to them, carrying out internal audits for them, marketing their products or receiving commissions for recommending their services to customers.

However, the professionals may provide certain information to the entity requesting conformity assessment such as explaining the procedures for requesting conformity assessment, the meaning of requirements and explaining the results of her/his audit of the entity.

Second principle: Competence

Professionals active in product certification, marking, and management system certification should be fully competent to carry out evaluation and should be capable of sound judgment in technical situations and in planning and implementing assessment policies.
Third principle: Confidentiality

Professionals active in product certification, marking, and management system certification should commit not to disclose any information related to product design, manufacturing processes, quality data or similar information they receive as they carry out conformity assessment with the requesting entities except in line with the law and the rules governing the certification and marking system.

8.3 Principles of information management

Information on standards, technical regulations and conformity assessment procedures is crucial for manufacturers, exporters, importers and traders. Before starting to manufacture, import or export a product, it is essential to find out what standards and technical regulations exist in the target market and how to demonstrate the conformity of products to them in a way acceptable to the authorities and to market players. Services provided in this field are often referred to briefly as “standards information”.

General principles of information management – “standards information”

° Standards information services should be as complete and as accessible as possible, providing information on voluntary standards, mandatory technical regulations and conformity assessment procedures related to products and/or groups of products;

° Standards information services should be designed in an impartial manner that would provide full transparency to users from all countries having different information needs;

° If the language in which standards, technical regulations and conformity assessment procedures are expressed is not widely spoken outside the country, information on at least the titles of the documents should be provided by the standards information service in a widely understood language such as English or French;

° Principles of information security management are: confidentiality, integrity and availability;

° Translating the full text of standards, technical regulations or conformity assessment procedures from the national language into another language is normally not an obligation of the national standards information service. However, that service should be made available to users from other countries either by paid translation services or information on alternative translation services available in the country or abroad;

° Most standards information services are currently provided online. Nevertheless, standards information professionals should be available to answer requests for information received by e-mail, paper mail, phone or fax or made personally. Professionals should also readily explain how to use the online information service to users who have difficulty;

° The personal standards information service should be provided by courteous professionals who can speak at least one widely understood foreign language (such as English) and who should do their utmost to understand and satisfy the information needs of requesters. Where complete information is not available to the information professional, s/he should ask the requester to allow some time to consult the technical expert(s) and get back to the requester;

° Information technology and information security management have come to play an extremely vital role in today’s fast moving but invariably technically fragile business environment. Consequently, secured communications are needed in order for both NQI organizations and their customers to benefit from the advancements that the internet and communication technology are empowering us with;

° NQI organizations should implement strict standards of information security management (such as ISO/IEC 27000) and risk management (such as ISO 31000).
8.4 Principles and practices of consultancy and training

Consultancy and training related to the quality infrastructure are essential in order to promote and upgrade activities in this field. The following are the principles that should guide personnel and organizations offering training and consultancy services in these fields.

- Clients should be served honestly, competently and objectively at all times. The client should always come first;
- Consultants and trainers should seek to achieve customer satisfaction;
- Consultants and trainers should safeguard the interests of the client;
- Professionals offering consultancy and training services should observe due diligence and not spare any effort in providing the best of their knowledge and experience to the client and his staff;
- Consultancy and training should be provided on the basis of scientific principles, current research and knowledge;
- Assignments should be accepted only in the fields of expertise. The work should be given to appropriate experts;
- Before concluding an agreement, mutual understanding of the objectives, the scope, the work plan and the fees should be achieved;
- Consultants should always indicate the best solutions available in a given context to the client who will be free to choose to implement those solutions or opt for less onerous ones;
- Commitment to continue training, skill development and the application of recent knowledge to the client’s situation should be shown by consultants and trainers;
- Consultants and trainers should behave with modesty, courtesy and respect to the staff being trained or receiving their advice;
- Trainers should listen attentively to feedback from the trainees; this can reveal weaknesses in the training process and permit their correction in the present and avoidance in the future;
- Trainers should constantly update the training material incorporating in it the latest trends and developments in the given field;
- Realistic expectations should be provided of the outcome and benefits of provided services;
- Contradictions (or seeming contradictions) that might affect judgment and objectiveness should be avoided;
- The client should be informed beforehand of any charges for equipment, supplies or services that are recommended in the delivery of consultancy and training;
- The client’s intellectual property rights should be respected and should not be disclosed to other clients, colleagues or other parties without explicit authorization by the client;
- The client should be informed of any personal or financial relations between the consultant and suppliers or service providers to the client;
- The position of a consultant or trainer should not be used to gain any advantage, financial or personal gain except those agreed upon in the contract;
- Client interests should be served on a long-term basis even if the required work is short-term;
- The principle of sharing knowledge and skills related to the profession should be upheld;
- There should be respect for the rights of other consultants and honest competition with them for assignments;
- Consultancy and training must be in line with all laws and regulations including software licensing and publication rights;
- The e-mail addresses of the client and his personnel must be kept confidential and should not be published without prior consent;
- Services should not be provided simultaneously to two competing companies without their prior knowledge;
- The work of others should not be used without authorization. This includes written material, graphics, plans, ideas and other intellectual property that clearly belong to others;
Professionals must not participate in deceptive sales practices such as untruthful claims, claiming non-existent resources or non-existent clients, providing certificates with false names, faking results for the client;

Endeavor to settle the client’s claims and to return paid fees, if the client proves that the failure of the project is due to inadequate performance and/or incompetence;

Avoid making spectacular and exaggerated declarations that could lead to improper consequences;

Non-discrimination between persons on the basis of race, religion, gender, age, views or upbringing. Positive discrimination is recommended – “the provision of special opportunities in employment, training, etc., for a disadvantaged group, such as women, ethnic minorities, etc.”.

Provide generally accepted facts and explain controversial matters without personal bias based on knowledge of the different points of view;

The accreditation body should not provide any consultancy services. Trainings organized by the body should only provide neutral and objective information.

8.5 Principles and practices of accreditation

First principle: Impartiality and integrity

Accreditation assessors should not have any commercial or financial relations or any conflict of interest that might affect their performance of evaluations in an impartial manner;

The assessor should not have provided consultancy to the entity requesting accreditation as this might affect the integrity of the accreditation process.

Second principle: Confidentiality and independence

The accreditation body should ask assessors to sign a declaration or other document stipulating their commitment to confidentiality and independence from commercial and other interests and freedom from previous relations with the entity requesting accreditation.

Third principle: Transparency and credibility

Accredited entities should not use phrases or data not related to the accreditation they received and that could be misleading or unauthorized. They should not use accreditation in a way that could damage the reputation of the accreditation body;

If an accreditation is suspended or withdrawn, the accredited entity should stop using all publicity indicating accreditation;

Accreditation should not be used to imply that a product is accredited.

Fourth principle: Objectiveness

Objectiveness of the assessors is one of the fundamentals of any accreditation activity. Whether the object of accreditation is a product, personnel or a system certification, the assessor should have full knowledge of the type of activity involved and should be aware of the latest information and techniques related to that activity.
The assessor should request and receive all documents and information needed for the accreditation.

- Assessors should explain the objectives of the audit to the auditee. They may not directly or indirectly offer advice or proposals to the auditee.

Fifth principle: Competency

- Competence is described as the result of knowledge, study, training, skills and experience.
- Assessors should only audit within their area of competence.
- Assessors should make a conscious effort to improve their competence in order to provide professional auditing services.

8.6 Principles and practices of control, evaluation and improvement

The top management of institutions and entities active in the fields of the quality infrastructure should:

- Establish a policy declaring their commitment to the principles of ethical conduct and inform their employees and their clients of this policy and their gender policy;
- Establish internal rules for identifying practices that deviate from those principles;
- Establish systems for receiving appeals against the practices of their employees and other persons who are carrying out assignments for them. This system should provide mechanisms for investigating the seriousness of allegations of incompatibility with the ethical principles;
- In cases of non-compliance of personnel with the rules, an oral or written warning should be given to the person concerned.
8.7 Principles of ethical conduct of boards of directors

General rules
- Members of the board should carry out their duties in accordance with the laws governing the body;
- Members should make every effort to create a good image of the board.

Attendance
- Members should attend all meetings and in the case of absence due to an emergency, should inform the secretariat as soon as possible.

Execution of tasks
- Members should agree to execute their tasks successfully and on time;
- If execution of a task is delayed due to circumstances beyond the control of the member, s/he should inform the chairperson or the secretariat without delay;
- Each member should report on the execution of the tasks entrusted to them at meetings of the board.

Monitoring adherence to the principles and rules of ethical conduct

The establishment of an association or federation of the professions related to the quality infrastructure can be one of the mechanisms that would support adherence to this code of good practice and promote its principles to its members as well as to clients and users of the services provided by the members. This association could play a role in controlling adherence to the country’s principles of ethical conduct.

Identifying situations of malpractice and undertaking actions
- The quality infrastructure “Association of Professionals” may receive complaints about practices incompatible with the principles of this code from its members, from users of those services and from the public at large;
- The association should pass the complaints to the organization, where the malpractice allegedly took place with a request to investigate the matter and report back to the association;
- The responses are submitted to the board of management of the association, which would study the case. The board may establish an ad hoc committee to discover whether the reply is satisfactory or not. If the reply is deemed satisfactory, whether by denial of the allegation and convincingly proving it did not occur or by admitting the malpractice and ensuring that actions were taken to correct the situation and prevent its recurrence, the matter is considered closed;
- If the reply is unsatisfactory, the association passes the matter to the ministry or the entity to which the body reports explaining to them why the reply is considered unsatisfactory based on the code of good practice.
Annex 1: Declaration of ethical conduct of professionals in the field of standardization* (non-exhaustive)

Professionals approved by the National Standards Body (SON) and other quality bodies to be included in the Register of Experts, Consultants and Auditors shall continue to develop their professional knowledge and shall adhere to the ethics of “SON”.

Adherence to the ethics and rules of conduct of “SON” is a condition for the maintenance of registration and approval.

Professionals declare the following:

• To act professionally, with precision and impartiality.
• To do everything possible to improve professional competence.
• To help employees and subordinates to develop their administrative and technical skills.
• To accept only those assignments that they are capable of performing.
• To inform SON of any relation that can be considered or interpreted as a “conflict of interest” and that would affect judgment.
• To disclose no confidential information related to the standard or the assignment except with official permission.
• Not to accept presents or commissions or any material or symbolic advantages (except the financial remuneration) from the body being audited or from any of its employees or those with an “interest” in that body and not to permit any colleagues to do that.
• Not to commit any behavior that could affect the reputation of SON or accreditation processes.

This is my declaration that I adhere to this Code of Conduct and, if complaints are made about my conduct, I authorize further investigations accordingly.

Date: ..................   Name:....................   Signature: .......................
<table>
<thead>
<tr>
<th>#</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Did officers from each directorate complete risk and integrity forms for application cases handled?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7</td>
<td>Is an assessment of the work environment (this form) being completed yearly by the auditing department?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>8</td>
<td>Have the shortcomings from the past assessments of work environment been addressed?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
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</table>

Total Points_____/40

<table>
<thead>
<tr>
<th>#</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Is the internal mechanism for complaints handling and whistleblower protection widely publicized and readily available to all employees?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Has the auditing department conducted random application file inspections every six months?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
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</tbody>
</table>

Total Points:_____/30

<table>
<thead>
<tr>
<th>#</th>
<th>Identification guidelines</th>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Is the organization’s website fully functional and updated regularly with information of public interest?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Were all corruption allegations in this period addressed?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
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</tbody>
</table>

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<thead>
<tr>
<th>#</th>
<th>Sanctions</th>
<th>Yes</th>
<th>No</th>
<th>Partial</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Were personnel informed of the outcomes of investigations and criminal prosecutions under national law?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Were sanctions applied uniformly to employees committing the same act of corruption?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Have whistleblowers been provided adequate protection against retaliation?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td></td>
<td>Comments:</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Total Points:_____/15
Annex 3: Risk assessment and integrity form

Department:

Date:  
Application name:  
Officer in charge of application:  
Cleared by:

I certify that:

- I do not have any conflict of interest in the handling of this case that could impair my fair judgment in accordance with the organization’s regulations.
- I have access to and knowledge of the organization’s procedures for decision-making in this application and will act in good faith and work efficiently with my colleagues.
- I will refrain from any misconduct and will consider it my duty to report to the responsible officer any actual or reasonable suspicion of misconduct including fraud, bribery, embezzlement, influence peddling, money laundering, extortion and nepotism.
- I will cooperate with the responsible officer and the auditing department to the best of my ability in the event of an investigation concerning this case.
- As an employee of the organization I have the interest of the general public in mind and will not take any actions that may be perceived otherwise.

..................................................  
Officer in Charge

Annex 4: Complaint form

For internal/external use

Please note that the information you provide on this form will be treated confidentially

Date:  
Name of complainant:  
Mark here to remain anonymous  
Please provide a form of contact to keep you informed of the status of the case:  
E-mail:  
Phone number:

1. Is this complaint regarding an act of corruption (fraud, nepotism, embezzlement, influence peddling, bribery, extortion, or money laundering?)
   - YES  
   - NO

2. When did the incident take place?

3. Who is involved in this incident?

4. Describe the incident in a couple of lines.

5. If the responsible officer proceeds with an investigation please describe any supporting evidence that exists.

If this is a corruption complaint, please submit this form via e-mail to:  
citizen.complaints@anti-corruption.gov or call the following number: 01234567
Annex 5: Employee checklist

Personnel Department

Full name of employee: 
Position: 
Date of start of employment: 
Supervisor: 

This form should be completed by the employee and signed by his/her supervisor as well as a representative of the personnel department, no later than two weeks after the employee has started working with the organization.

<table>
<thead>
<tr>
<th>The employee:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is qualified to carry out the tasks required of his/her position</td>
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<td>Comments:</td>
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<td>2. Received a copy of the Ethical Code of Conduct, understands its contents, and has stated an intention to abide with it</td>
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<td>Comments:</td>
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<td>3. Was or is currently being trained in the legal and procedural criteria in his/her line of work</td>
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<td>Comments:</td>
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<td>4. Has been briefed on the corruption complaints handling procedures</td>
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<td>Comments:</td>
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Date: 

We certify the validity of the above statements.

_________________                     _________________                   ________________
Employee                        Supervisor          Personnel Department

Annex 6: Sample integrity test

Personnel Department

Date: 
Full name of employee: 
Department: 
Graded by:     Result:         /5

Choose the answer that most closely approximates what you would do in the following situations:

1. You have been assigned to a project in which, due to a personal interest or relationship, you favor a certain outcome. You:
   a. Inform your supervisor of your conflict of interest and request to be reassigned
   b. Use your personal interest to influence the outcome in the project
   c. Do not tell anyone about your conflict of interest and continue working on the project

2. You suspect a colleague has intentionally provided false information (a form of fraud) in project documents. You:
   a. Do nothing because it is not your responsibility
   b. Confront your colleague and if your suspicions are confirmed, talk to your supervisor
   c. Try to correct the information without telling anyone

3. A friend asks you for a job in your department. You know he is not qualified for it. You:
   a. Use your influence to get him the job – after all he is your friend
   b. Advise him to lie on his resumé so he qualifies for the job
   c. Refer him to the Personnel Department to determine what job he qualifies for

4. A person with influence has threatened to physically harm you and your family if you do not cooperate in what you recognize as corrupt activities. You:
   a. Use the hotline to inform the Responsible Officer and request whistleblower protection for you and your family
   b. Decide to cooperate to avoid harm
   c. Ignore the threat

5. The Commission on Integrity is conducting an investigation of a suspected corruption case and has requested your cooperation. You:
   a. Refuse to cooperate
   b. Cooperate fully with guarantees that your position and person will not be compromised
   c. Provide minimal information and influence other colleagues in their cooperation

Answers: 1a, 2b, 3c, 4a, 5b
## Annex 7: Good governance and sustainability strategy checklist

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Have you clearly defined your organization’s vision, mission and core values that outline your social responsibility?</td>
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<td>2</td>
<td>Do your vision, mission and core values genuinely reflect your organization’s culture and activities and vice versa?</td>
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<td>3</td>
<td>Has your organization identified your material core social responsibility (SR) subjects and those of your stakeholders?</td>
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<td>4</td>
<td>Does your current business strategy address your core SR subjects?</td>
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<td>5</td>
<td>Have you identified the stakeholders for each of the core subjects?</td>
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<td>6</td>
<td>Have you developed a stakeholder engagement strategy?</td>
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<td>7</td>
<td>Have you identified all legislation that your organization needs to respect in relation to your core subjects?</td>
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<td>8</td>
<td>Does your organization adhere to national and international norms, standards, conventions, agreements and guidelines?</td>
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<td>9</td>
<td>Have you developed a disclosure policy?</td>
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<td>10</td>
<td>Do you communicate clearly with stakeholders on issues that concern them?</td>
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<td>11</td>
<td>Do you report on the progress of issues that concern your stakeholders?</td>
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<td>12</td>
<td>Is there provision of resources to train staff to effectively address your SR?</td>
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<td></td>
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<tr>
<td>13</td>
<td>Is there provision of resources to raise awareness within your organization for your SR?</td>
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<tr>
<td>14</td>
<td>Have you developed your decision-making process in a way that allows stakeholders to effectively participate in decisions/activities that concern them?</td>
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<td>15</td>
<td>Do you have a monitoring and review mechanism to measure the performance of your SR strategy?</td>
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<tr>
<td>16</td>
<td>Does your organization assign sufficient physical, human and financial capital to build the social capital necessary to sustainably address the above issues?</td>
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<tr>
<td>17</td>
<td>Is there somebody appointed who is responsible for development, implementation and oversight of the SR strategy?</td>
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ethics technical competence honesty competence accountability
coherence transparency promptness
openness fair presentation standard
environment effectiveness consensus impartiality
confidentiality governance administrative competence integrity