

Code of Conduct¹

Foreword

The purpose of this Code of Conduct is to provide a framework for decisions and actions in relation to conduct in employment and in working for the Royal United Services Institute for Defence and Security Studies, its subsidiaries and affiliated companies, or organisations controlled by the Royal United Services Institute for Defence and Security Studies (collectively, “RUSI”). It underpins the Institute's commitment to a duty of care to all Staff, stakeholders and clients receiving our services. This document also explains the principles covering appropriate conduct in a variety of contexts and outlines the minimum standards of behaviour expected from staff.

Definitions

Staff in this document means employees, interns and other voluntary workers, part-time and fixed-term workers and casual and agency staff. It also includes other non-employees such as independent and sub-contractors and other persons acting on behalf of, or providing services for RUSI, who perform work for RUSI under an Agreement as defined below.

Agreement means a contract of employment or a contractual agreement between a contractor or worker and RUSI.

Supervisor means the Line Manager of an employee.

Point of Contact means the employee who is managing a RUSI activity to which a contractor or worker contributes to.

Intellectual Property Rights means patents, utility models, rights to inventions, copyright and neighbouring and related rights, moral rights, trademarks and service marks, business names and domain names, rights in get-up and trade dress, goodwill and the right to sue for passing off or unfair competition, rights in designs, rights in computer software, database rights, rights to use, and protect the confidentiality of, confidential information (including know-how and trade secrets) and all other intellectual property rights, in each case whether registered or unregistered and including all applications and rights to apply for and be granted, renewals or extensions of, and rights to claim priority from, such rights and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world;

¹ This policy does not form part of any employee's contract of employment, and it may be amended at any time.

Values

Established in 1831, RUSI is an independent research institute with a mission to inform, influence and enhance public debate on a safer and more stable world. RUSI's three core values and aims are:

1. **Continuity** - Fulfil RUSI's Charter and Mission
 - a. Abide by RUSI's charitable status and provide a public benefit.
 - b. Respect RUSI's historical legacy while also looking to the future.
2. **Thought Leadership and Independence** - Stay Ahead of Change
 - a. Conduct original, evidence-based research on critical national and international defence and security issues.
 - b. Disseminate the results to enhance the public debate and promote constructive policy options.
 - c. Be innovative, entrepreneurial, and agile in response to a fluid and evolving security environment.
 - d. Ensure financial and intellectual independence, as well as accountability and transparency of funding and activities.
3. **Trust and Collaboration** - Promote an Inclusive and Trusted Community
 - a. Maintain a reputation as an honest broker and trusted partner and engage with a diverse network of people and ideas.
 - b. Honour RUSI's founding as a members' institute, while also convening a wider network to encourage fresh thinking and inter-disciplinary approaches.
 - c. Develop young talent in the full range of RUSI activities to ensure continuity of purpose.
 - d. Ensure a culture of respect, collaboration, professionalism, and compassion, inside and outside the Institute.
 - e. Demonstrate self-discipline in adherence to these values, while maintaining a sense of humility and humour.

Principles

RUSI is a member of the United Nations Global Compact and as such adheres to the Compact's Ten Principles in its practices. The Principles are:

Human Rights

- Principle 1: We support and respect the protection of internationally proclaimed human rights; and
- Principle 2: We ensure that we are not complicit in human rights abuses.

Labour

- Principle 3: We uphold the freedom of association and the effective recognition of the right to collective bargaining.
- Principle 4: We support the elimination of all forms of forced and compulsory labour.
- Principle 5: We support the effective abolition of child labour.
- Principle 6: We ensure and support the elimination of discrimination in respect of employment and occupation.

Environment

- Principle 7: We support a precautionary approach to environmental challenges.
- Principle 8: We undertake and support initiatives to promote greater environmental responsibility.
- Principle 9: We encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

- Principle 10: We work against corruption in all its forms, including extortion and bribery.

Equal Opportunities

Equality and Diversity Statement

RUSI is committed to encouraging equality and diversity among its workforce and eliminating unlawful discrimination. It is the Institute's policy to provide equal opportunities in employment regardless of age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race (including colour, nationality and ethnic or national origins), religion or religious or philosophical beliefs, sex, or sexual orientation.

We aim for our workforce to be a true representation of all sections of society and for all employees to feel respected and able to give their best. RUSI is committed to the promotion of equal opportunities and to ensure that the talent and skills of all employees are maximised. We will treat all Staff with respect and dignity and ensure Staff engage with each other in a dignified and respectful manner as well. RUSI has a zero-tolerance policy for any form of discrimination in the workplace and any claims of such behaviour will be promptly investigated and appropriate measures will be taken. Further information can be found in RUSI's Equality and Diversity Policy.

Harassment and Bullying

It is RUSI'S policy to maintain a non-discriminatory working environment that is free from sexual exploitation, harassment, bullying or abuse. There shall be zero tolerance regarding instances of sexual exploitation, harassment, bullying or abuse and all Staff should report any concerns in relation to these matters immediately. Further information on the standards of conduct which must be observed by Staff, as well as applicable reporting channels may be found in RUSI's SEAH Prevention Policy and Harassment and Bullying (Dignity at Work Policy).

Duty of Care

To comply with its duty of care, RUSI has analysed the different risks Staff may be exposed to and has adopted controls to minimize the likelihood and impact of said risks. The controls adopted by RUSI to facilitate Staff safety and wellbeing can be found in RUSI's Duty of Care Policy.

Staff are responsible for complying with all RUSI policies meant to keep them safe. This includes not only

complying with health and safety regulations, but also ensuring RUSI is aware of any relevant information which could impact Staff safety and wellbeing. Said information can be disclosed via the Line Manager (or the Point of Contact for contractors), and through the adequate completion of [Project](#) and [Travel](#) Risk Assessments.

Health and Safety

One of the ways in which RUSI complies with its duty of care is through its Health and Safety Policy. Through this RUSI has identified the main risks Staff are exposed to, how those risks are managed and what are the responsibilities of Staff when it comes to health and safety. All Staff must strictly comply with RUSI's Health and Safety Policy and associated procedures. Failure to comply will be considered a serious offence and Staff should be aware that non-compliance could put them and their colleagues at risk. All Staff should err on the side of caution when it comes to assessing risks associated to the physical and mental wellbeing of Staff.

Conflicts of Interest

A conflict of interest can be defined as a situation in which a member of Staff either has an incompatible interest with those of the Institute or is in a position to derive personal benefit from actions or decisions to be made in their capacity as RUSI employees. A potential conflict of interest should not be problematic if dealt with appropriately. For this reason all Staff should refer to RUSI's Conflicts of Interest Policy to manage these types of circumstances appropriately when they suspect a conflict of interest might exist.

Fraud, Bribery and Corruption

RUSI has a zero-tolerance policy when it comes to Fraud, Bribery and Corruption (FBC). This, includes both active bribery (the offering, promising, or giving of a bribe) and passive bribery (the requesting, agreeing to receive or accepting of a bribe). Furthermore, RUSI believes that action against FBC is in the broader interests of society. As a charity deriving a significant proportion of its income from public funds, benefactions, and charitable organisations, RUSI is concerned with protecting its operations and reputation as well as its funders, donors and Staff from the detriments associated with FBC.

Where FBC are shown to have occurred, RUSI will take firm action, which may include dismissal, termination of an Agreement and/or legal action. FBC committed by Staff will be treated as a serious disciplinary offence, which could result in dismissal for gross misconduct. Any non-employee who breaches this policy may have their contract terminated with immediate effect. Specific guidelines on how to prevent FBC and the different controls which RUSI has implemented in relation to gifts, travel and hospitality can be found in RUSI's FBC Prevention Policy.

Intellectual Property

Employees, as per their employment contract are required to give RUSI full written details of all inventions and of all works embodying Intellectual Property Rights made wholly or partially by them at any time during the course of employment. Employees acknowledge that all Intellectual Property Rights subsisting (or which may in the future subsist) in all such inventions and works shall automatically, on creation, vest in RUSI absolutely.

To the extent that they do not vest automatically, employees hold Intellectual Property Rights on trust for

RUSI. Employees agree promptly to execute all documents and do all acts as may, in the opinion of RUSI, be necessary to give effect to this, including irrevocably waiving all moral rights under the Copyright, Designs and Patents Act 1988 (and all similar rights in other jurisdictions) which they have or will have in any existing or future works.

Contractors and subcontractors should refer to their Agreements with RUSI when determining Intellectual Property Rights ownership.

Confidentiality

Staff shall not, except as authorised or required by their duties, reveal to any person, persons or company any of the confidential information concerning the organisation, business finances, transactions or affairs of RUSI or its members or donors which may come to their knowledge during their employment with or while working for the Institute (“Confidential Information”) and shall keep with complete security all Confidential Information entrusted to them and shall not use it or attempt to use any such Information in any manner which may injure or cause loss either directly or indirectly to the institute, any member or client of the Institute, their activities, or their business. This restriction shall continue to apply after the termination of an Agreement but shall cease to apply to information or knowledge which has entered the public domain, through no breach of confidentiality by Staff.

Staff shall be responsible for protecting the confidentiality of the Confidential Information and shall:

- a. Use their best endeavours to prevent the use or communication of any Confidential Information by any person, company, or organisation (except in the proper course of their duties, as required by law or as authorised by RUSI); and
- b. Inform RUSI immediately on becoming aware, or suspecting, that any such person, company or organisation knows or has used any Confidential Information.

All Confidential Information and copies shall be the property of RUSI and on termination of the Agreement, or at the request of RUSI, at any time during your employment or while working for the Institute, Staff shall:

- a. Hand over all Confidential Information or copies to their Supervisor/Point of Contact, as appropriate.
- b. Irretrievably delete any Confidential Information stored on any electronic storage device, including personal computer networks, personal e-mail accounts or personal accounts on websites, and all matter derived from such sources which is in your possession or under the control of Staff outside RUSI's premises. Staff will comply with such rules or procedures regarding Confidential Information matters as may be published by RUSI from time to time or are set out in an Agreement.
- c. Nothing in this policy shall prevent Staff from making a protected disclosure within the meaning of section 43A of the Employment Rights Act 1996.

Cyber Security and Handling of Personal Data

Cyber security is taken very seriously by RUSI. Whilst the organisation will do everything it can to ensure good cyber security practices through technology and training, it is vital that everyone with access to RUSI systems understands their responsibilities. Effective cyber security hinges on effective user behaviours. Staff

are expected to abide by RUSI's Cyber Security, and Data Protection Policies, as well as the Cyber Security Requirements for Contractors at all times to reduce the likelihood of a cyber incident.

Moreover, RUSI is committed to complying with laws and regulations governing the processing of people's personal data and ensuring all information is kept safe.

Whistleblowing

RUSI is committed to taking swift action against unethical or detrimental behaviour which is why any suspected violations to this Code of Conduct, or the policies referenced herein, should be immediately reported to the corresponding line manager or via the compliance@RUSI.org email. Good faith whistle-blowers will be protected from any form of retaliation. Further guidance can be found in RUSI's Whistleblowing Policy.