NATO COMMUNICATION &
INFORMATION SYSTEMS
SERVICES AGENCY
B-7010 SHAPE-BELGIUM

Telephone: +32 6544 6880
Fax: +32 6544 4331

AGENCE OTAN DE SERVICES
DE SYSTÈMES D'INFORMATION
ET DE COMMUNICATION
B -7010 SHAPE- BELGIQUE

Email: NCHQ@ncsa.nato.int

2050.05/NCGXX/2908/09

TO: All NCSA Staff Members

SUBJECT: Director's Introduction to NCSA Standards of Conduct

DATE: 29 January 2009

1. A growing demand for transparency and accountability among NATO member states has required NATO to review its mechanisms for ensuring high standards of conduct in public office. Establishing a set of ethical principles and standards of conduct serves to solidify public trust and is considered an important element of good corporate governance. In line with this trend, the Guidelines on Corporate Governance for NATO Agencies (C-M (2005)0087) generated a requirement for NATO Agencies to establish codes of ethical conduct which set out required standards of behaviour. These standards must be based on three major principles: **accountability, responsibility and transparency.**

2. This document meets that requirement, taking into account the guidance already provided by the North Atlantic Council in the NATO Civilian Personnel Regulations (NCPRs), as well as the general ethical principles commonly applied in the public sectors of NATO member states. It will enhance corporate governance by providing a set of broad ethical principles and specific rules applicable across the entirety of NCSA. This will ensure that NCSA's activities are conducted in a manner that reflects best practices and the highest ethical standards.

3. This directive provides an analytical framework for ethical decision-making that will guide NCSA personnel in carrying out their official activities. It is intended to be robust enough to withstand close public scrutiny, yet flexible enough to avoid creating bureaucratic obstacles which might impede operations.

4. All members of NCSA should understand that I support these principles and am committed to upholding them. I expect each member of NCSA to do the same.

ULRICH WOLF
Lieutenant General, DEU A
Director, NCSA

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NCSA DIRECTIVE 40-7 **29 January 2009**

NCSA STANDARDS OF CONDUCT

1. Scope. This directive establishes ethical standards of conduct for all NCSA personnel. It may not be supplemented. Approval authorities outlined in this policy may not be further delegated.

2. Purpose. This document is intended to assist staff members in applying ethical standards to their official duties. The goal is to raise sensitivity to ethical issues, enabling staff members to recognize "red flags" so they can seek guidance from a supervisor or the legal office.

3. Applicability. This policy applies to all NCSA staff members, both military and civilian.

a. Civilian Personnel. This directive applies to NATO international civilians, temporary employees, NCPR consultants, and interns. It elaborates on the rules found in the NATO Civilian Personnel Regulations. It also applies to civilian personnel hired under local conditions (local wage rate personnel) to the extent compatible with host nation law and labor agreements. Violation of this directive may serve as the basis for disciplinary action in appropriate cases.

b. Military Personnel. This directive applies to military personnel serving in NCSA PE posts or as Voluntary National Contributions, insofar as it is consistent with applicable provisions of national law. Additional national restrictions may also apply to military personnel. As in all cases, discipline of military personnel remains a national responsibility. However, violation of this directive by military personnel may serve as a basis for return to national duty in appropriate cases. Violations by military personnel may also be referred to national authorities for appropriate action.

c. Contractor Employees. Contractors, sub-contractors, and their employees who do business or seek to do business with NCSA facilities must act consistently with these rules. All NCSA contracts shall contain provisions requiring compliance with this directive. Violations may serve as grounds for contract termination or debarment in appropriate cases.

4. Responsibility. Staff members are responsible for ensuring that they are familiar with and follow the guidance contained within this directive. Managers and supervisors shall bring the policy to the attention of all new employees on commencement of their

duties with NCSA. New employees shall be required to sign a document indicating their understanding of this directive as part of the induction process. This signed acknowledgment (attached at Annex A) should form part of the employee's personnel file.

5. Determinations and Reporting. If staff members have any questions regarding this directive, they may request information from the Office of the NCSA Legal Advisor. Information provided in such requests is not privileged, nor does it create an attorney-client relationship. In some cases, staff members may need to request an official determination. Determinations under this directive will be made by the NCSA Chief of Staff, with advice from the NCSA Legal Advisor. Determinations under these rules do not constitute personal legal advice, but rather represent the official position of NCSA.

Staff members may report suspected infringements of these standards of conduct to their supervisory chain, to the internal auditor, to the Financial Controller, or to the Legal Advisor. Staff members who report violations shall be protected against retaliation or reprisal.

6. Introduction.

a. NCSA's greatest assets are the people – civilian and military – who work for the Alliance. Experience has shown that the vast majority of NCSA employees perform their duties in an exemplary manner. The responsibilities of our employees are great and their performance demonstrates a high level of integrity. NCSA requires that all staff members perform their duties in a manner that will stand up to close public scrutiny, and avoid any real or apparent conflict of interest.

b. These rules are intended to bring the following benefits, which in turn advance NCSA's strategic goals and objectives:

(1) To ensure decisions are based solely on the best interests of NCSA and NATO;

(2) To give clear guidance to NCSA employees and organizational elements;

(3) To instil confidence in NCSA among our customers, the Nations, and the public;

(4) To enhance and preserve NCSA's credibility and reputation;

(5) To attract highly qualified job applicants and best-in-class suppliers.

7. General Ethical Principles. The following ethical principles are generally recognized throughout the NATO member states and among public international organizations. These fundamental principles should guide NCSA personnel in their decisions and actions. They also form the basis for the specific rules of conduct which follow.

a. Impartiality. In carrying out official business, such as recruitment of personnel, awarding contracts, or recommending individuals for awards, NCSA staff members shall make decisions based solely on the best interests of NCSA and NATO, avoiding favouritism or other forms of bias.

b. Integrity. NCSA staff members shall avoid conflicts of interest, especially financial or other obligations to third parties that might influence them in the performance of their official duties. They shall not take any official action to gain financial or other benefits for themselves, their family, or their friends.

c. Accountability. NCSA staff members are accountable for their actions to NATO, the Nations, and the general public. They must avoid the appearance of impropriety and ensure their actions will stand up to public scrutiny.

d. Transparency. NCSA employees must be open and transparent regarding official actions that they take. They should normally give reasons for their decisions and restrict information only when the interests of confidentiality and privacy so require. They shall disclose to their supervisory chain any private interest they have that might create an actual or apparent conflict of interest with their official duties.

e. Confidentiality. NCSA staff members are bound by rules of professional secrecy, acting responsibly to safeguard information of a confidential or sensitive nature. They are required to ensure the privacy and confidentiality of any personal information to which they have access or for which they are responsible. They must act with appropriate discretion when handling personal data.

f. Loyalty. NCSA staff members exercise functions of an international character in the common interest of the Alliance. They shall exercise loyalty, discretion and conscience in the functions entrusted to them, acting solely in the interest of NCSA and NATO. Staff members shall not accept instructions in regard to the performance of their NATO duties from any government or authority other than NCSA.

g. Leadership. All NCSA leaders – supervisors, commanders, and senior leaders – should promote and support these principles, leading by example.

8. Performance of Duties. Staff members are expected to carry out their duties diligently, to the best of their abilities, and in a manner which contributes to the efficient accomplishment of the NCSA mission. They shall conduct themselves at all times in a manner compatible with their status as representatives of the Agency, and shall avoid any action or activity which may reflect adversely on their position or on the good reputation of NCSA. Staff members shall perform their functions in compliance with applicable NATO and NCSA rules, regulations and directives.

9. Equal Treatment and Non-Harassment.

a. In carrying out their official duties, staff members shall treat their colleagues and others with whom they come into contact with respect and courtesy at all times. They shall not discriminate against others based on gender, race, ethnicity, national origin, religion, belief, age, or sexual orientation. They have the right to expect similar treatment from other NCSA and NATO staff members. Staff members are required to act without national bias, striving to achieve a level of teamwork and *esprit de corps* which transcends cultural differences.

b. NCSA will not tolerate sexual harassment, threats, intimidation, or bullying. NCSA staff members are expected to foster an environment free of harassment, intimidation and hostility, and to exhibit consideration for the values and cultural sensitivities of all staff members working in the Agency.

c. NCSA staff members shall not:

(1) Make offensive, insulting, threatening, or similarly inappropriate comments or remarks;

(2) Display offensive, insulting, or similarly inappropriate pictures or texts;

(3) Make unwelcome sexual advances;

(4) Use NATO CIS to access, view, post, store, transmit, download or distribute any profane, obscene, derogatory, harassing, offensive, or similarly inappropriate materials.

d. Should staff members believe that they are being treated inappropriately, and cannot resolve the matter directly with the alleged offender, they should seek assistance from their supervisor, the Civilian Staff Association, the Chief of Civilian Human Resources Management, or some other appropriate management official. Supervisors shall bring all cases of harassment or discrimination which are reported to them to the attention of the Manpower and Personnel Division. All reported cases shall be appropriately investigated. Civilian staff members may also make use of the procedures found in NCSA Directive 50-10 (Civilian Personnel Mediation and Complaints). Staff members shall not suffer reprisal or retaliation for preventing or reporting harassment or discrimination.

10. Use of Official Resources.

a. Official resources include NCSA or NATO funds, property, personnel, time, information, and services. NCSA staff members shall ensure that official resources are used properly and effectively. Staff members are expected to take all reasonable and appropriate measures to limit costs and expenses wherever possible, so that official resources can be employed in the most efficient manner.

b. All official resources provided to staff members by NCSA, whatever their nature, are for official use only, unless private use has been approved according to relevant internal rules or practices, or on a discretionary basis. Any private, unofficial use shall be limited to a minimum.

c. Staff members shall respect and safeguard official property placed at their disposal, treating it with due care. They shall not allow third parties to make unauthorised use of official resources.

d. All work products created by NCSA staff members for NCSA or NATO purposes are the intellectual property of NCSA and NATO. NCSA information and work products, regardless of the format in which they are stored, are NCSA property, and must be returned when employment ends.

11. Duty of Confidentiality.

a. NCSA staff members shall exercise the utmost discretion in all official matters, safeguarding information on matters related to the aims and activities of NCSA and NATO.

b. Staff members shall exercise special care to avoid inappropriate disclosure of sensitive information. This includes classified information; commercial or financial data; information regarding planned or ongoing procurements; proprietary data; information regarding personnel actions, such as recruitment or awards; data of a personal or private nature; and any other information, the disclosure of which would be harmful to NCSA's or NATO's interests.

12. Conflicts of Interest.

a. NCSA staff members shall avoid any conflicts of interest. A conflict of interest is a private or personal interest which may influence, or appear to influence, the impartial and objective performance of a staff member's official duties. Private or personal interest means any potential advantage for a staff member, his family, relatives, or circle of friends and acquaintances. It includes, but is not limited to, outside business interests.

b. Staff members shall not use their official position with NATO, or information gained from it, for personal gain, or for the gain of friends or family. They must carry out their duties in a way that is fair and justifiable, avoiding favouritism or other forms of bias.

c. If a staff member, or a member of the staff member's immediate family, is engaged in negotiations for employment with a commercial firm, or receives an offer of employment from such a firm, and the staff member has dealings with that firm in an official capacity, the staff member shall immediately disclose the matter to his supervisor. The staff member shall recuse himself from any further dealings with the firm in an official capacity until such time as negotiations definitively cease.

d. Any staff member who considers that he might be in a position of actual or apparent conflict of interest shall disclose the matter promptly and fully to his supervisor. The staff member shall seek guidance from the NCSA Legal Office on whether he should withdraw from the situation that is creating the conflict or the appearance of conflict.

13. Off-Duty Activities.

a. Political Activities. NCSA staff members belong to an international organization, and must therefore maintain independence and impartiality from national governments.

(1) NCSA staff members shall not seek or hold a public office of a political character without the prior written consent of the Director, NCSA. Such activities will be approved only when they are compatible with the proper discharge of the

staff members' duties with NCSA, and with their status as international employees of NCSA and NATO.

(2) When taking part in partisan political activities, staff members must exercise discretion. They shall avoid accepting or soliciting funds, writing articles, or making public statements that are incompatible with their status as NCSA and NATO employees. In particular, staff members must avoid involvement with organizations that advocate extremist agendas or the use of violence, such as racist or terrorist organizations.

b. Secondary Employment. NCSA staff members shall not engage in paid outside employment or ongoing commercial business activities without prior written approval. Approval may be withdrawn in cases where it becomes apparent that there is a negative impact on NCSA or NATO. This provision does not apply to transactions of a routine, occasional, or personal nature, such as sale of a car, rental or sale of a residence, or management of investments.

(1) For B-grade and enlisted staff members, approval may be granted by Division Heads, NCSA Commanders, and the NCISS Commandant.

(2) For A-grade staff and officers, approval may only be granted by the Chief of Staff, NCSA.

(3) For staff members of any grade or rank, requests for outside employment or business activities in the communication and information systems (CIS) or information technology (IT) arenas must be approved by the Chief of Staff, NCSA.

c. Activities Related to NATO Commercial Contracts. NCSA staff members are prohibited from entering into commercial contracts with any NATO body or entity. NCSA staff members are prohibited from accepting any outside employment related to commercial contracts paid for with NATO common funds or NATO multinational funds.

d. Pre-Existing Employment. Some NCSA staff members may already be engaged in the outside activities discussed above. These situations will be evaluated on a case-by-case basis. To avoid undue hardship on NCSA staff members, exceptions may be granted in certain cases, as long as NCSA's and NATO's interests are safeguarded.

e. Application to Military Personnel. Additional national restrictions may apply to military personnel. Accordingly, requests for outside employment of military personnel will be coordinated in advance with the appropriate national authorities.

14. Recruitment and Personnel Actions.

a. When taking personnel actions, managers shall ensure that decisions are based on the best interests of NCSA, with paramount importance given to merit. Personnel actions include but are not limited to recruitment, evaluations, awards,

promotions, TDY, training opportunities, and disciplinary action. Favouritism and bias must be avoided.

b. When drafting job descriptions and related documents, management officials shall not tailor them to unfairly favour or disadvantage specific individuals. Staff members shall recuse themselves from drafting job descriptions for which they, their relatives, or their close friends intend to apply.

c. A staff member shall not serve as a member of a selection board if any of the candidates has a close social, commercial, or blood relationship with the staff member. Such relationships must be disclosed by the staff member to the selection board for resolution. This obligation applies to both positive and negative relationships, since the possibility of bias against specific applicants is also a matter of concern.

d. Information and materials used during the recruitment process, especially those used by the selection board, are considered inside information, which shall not be released to applicants or to any other parties without an official need to know. Examples of such materials include qualification ranking criteria, questions or answers to written exams, and lists of questions to be used during oral interviews.

e. Selection boards must remain independent. Staff members shall not make any attempt, directly or indirectly, to improperly influence board members or testing personnel in the conduct of their duties. In particular, this includes contacts with board members or testing personnel made by applicants or friends, relatives, or colleagues of an applicant with the intent to influence the board's decision either in favour of or against a particular applicant. This is not intended to prevent candidates from submitting letters of reference or similar recommendations in connection with application packets.

f. In addition to the specific provisions above, staff members taking personnel actions or involved in the recruitment process shall avoid any action that creates the appearance of impropriety, favouritism, or other forms of bias.

g. There is no bar to members of the same household or other close relatives working in the same NCSA organizational element. However, care must be taken to ensure that this does not create the potential for a conflict of interest. Staff members shall not be placed in the supervisory chain of relatives or others with whom they enjoy a close personal relationship. Nor shall they take any decision on personnel actions – including recruitment, promotion, TDY, training, or awards – regarding family members, relatives or others with whom they enjoy a close personal relationship.

15. Relationships between Supervisors and Subordinates.

a. Supervisors and subordinates shall treat one another with courtesy and professionalism, bearing in mind the respect due to those of superior rank.

b. Staff members shall avoid personal relationships with supervisors or subordinates that create the possibility of a conflict with their official duties. In

particular, staff members shall not engage in romantic involvement or commercial transactions with their supervisors or subordinates.

c. Supervisors shall not solicit or accept gifts or other benefits from their subordinates. As an exception to this rule, supervisors may accept gifts from subordinates under the following circumstances:

(1) As part of customary hospitality in a social setting, such as a dinner party. This includes gifts of minimal value customarily given by guests at such an event.

(2) On social or other occasions when gifts are customarily given, such as a wedding or promotion. Such gifts should be of minimal value.

(3) Upon departure from NCSA, a superior may accept a farewell gift of a reasonable value and appropriate to the circumstances from a group or groups of co-workers and colleagues which may include subordinates.

d. Even when the above exceptions apply, supervisors should avoid accepting gifts whenever possible. Under no circumstances shall staff members be required or pressured to give gifts, or to contribute funds toward the purchase of gifts. Such contributions shall be strictly voluntary in nature.

16. Gifts from External Sources.

a. NCSA staff members must remain independent and impartial; they must not allow themselves to be improperly influenced in their performance of official duties. Accordingly, any gifts, hospitality, or other benefits that might influence staff members in the performance of their official duties must be declined.

b. As a general rule, staff members shall not solicit or accept gifts, directly or indirectly, from outside parties having dealings with NCSA or NATO. This includes commercial firms or individuals doing business or seeking to do business with NCSA. The term "gift" is defined as money or any other tangible or intangible benefit of monetary value. This includes vacations, loans, discounts, and travel or accommodations for private activities.

c. Notwithstanding the above, acceptance of offers of incidental gifts, hospitality, or other benefits arising out of activities associated with the performance of their official duties and responsibilities is not prohibited if such gifts, hospitality, or other benefits:

(1) Are within the bounds of propriety, a normal expression of courtesy, or within the normal standards of hospitality;

(2) Are not such that they bring suspicion on the employee's objectivity and impartiality;

(3) Serve the interests of NCSA and NATO; and

(4) Do not compromise the integrity of NCSA and NATO.

d. Staff members should seek an official determination before accepting gifts from external sources. Staff members shall report any offer of gratuities to the NCSA Financial Controller, aside from those specifically excepted below.

e. In application of the rules above, staff members may accept the following items without the need for an official determination:

(1) Items or offers available to the general public;

(2) Advertising items or similar gifts of negligible intrinsic value;

(3) Refreshments or meals as part of a conference or seminar;

(4) Luncheons or dinners at a contractor's facility on an infrequent basis, when the conduct of official business will be facilitated;

(5) Local transportation provided by the contractor in connection with an official visit, when alternate arrangements are not practicable.

(6) Free attendance at conferences or similar gatherings to which NCSA personnel are invited as speakers.

f. Staff members shall not accept honoraria or similar benefits for any speech, presentation, paper or other activity that is related to the employee's official position with NCSA.

g. Payment from commercial sources of travel or lodging costs for staff members on official TDY is normally not permitted. If acceptance of such an offer is believed to serve the overall interests of NCSA, the matter will be referred in advance to the NCSA Chief of Staff for an official determination. In such cases, payment of travel and lodging costs will be limited to a level not to exceed the authorized NATO travel and per diem reimbursements.

h. The provisions above apply only to gifts given to NCSA staff members in their individual capacity. They do not apply to consideration given to NCSA as an Agency in connection with contractual agreements and industry initiatives. Nor do they apply to awards or allowances given to military personnel by their national governments.

17. Ethical Considerations in Procurement and Contracting.

a. The overarching consideration in procurement and contracting is to obtain the best possible value for NCSA and NATO. As a general rule, competition is the best means to ensure that NCSA and our customers receive the best value when expending NATO common funds. Industry's confidence in the fairness of the procurement and contracting process is the best way to ensure maximum competition.

b. NCSA staff members involved in the contracting and procurement process must conduct themselves in a manner that avoids any suggestion of a conflict between their personal financial interests and the official needs of NCSA and NATO. This

includes contracting officers; buyers; contracting officer technical representatives; originators and authorized requestors who generate statements of requirements; quality assurance evaluators; fund managers; project planners, systems engineers, and others with substantial involvement in the procurement process. All staff members in such positions shall protect NCSA's and NATO's interests without exception.

c. Staff members involved in the procurement process must take special care to safeguard sensitive, procurement-related information. This includes avoiding any premature or accidental release of information that would provide a nation or commercial firm with an unfair competitive advantage.

d. Staff members involved in the procurement process shall not disclose any proprietary or contractor selection information regarding procurement directly or indirectly to anyone other than persons authorized by the NCSA contracting officer to receive such information. During an ongoing selection, staff members shall not disclose any information on potential contractors' positions in the respective selection process.

e. For purposes of the paragraph above, proprietary information is information submitted to NCSA in response to a particular procurement (such as information contained in an offer or proposal), or in an unsolicited proposal, that has been marked by the contractor as proprietary information. Contractor selection information is information, which is prepared or developed for use by NCSA in connection with a particular procurement, and which is intended to aid in the selection of the winning bid or proposal.

f. Contractors shall not be allowed to draft statements of work and similar documents used in the procurement process unless they will be excluded from competition for the related contracts. Likewise, contractors will be excluded from competition if they have substantial involvement in the definition and development of the requirement.

g. Staff members shall not participate in the procurement process if there is real or perceived conflict of interest between their private interests and their official duties. In particular, staff members shall not participate in a procurement if an offer has been made or is intended to be made by a family member, friend, or relative, or by a business entity which is owned, substantially owned, or controlled by the staff member, his family, friends, or relatives.

h. Staff members shall not enter into unauthorized commitments in the name of NCSA or NATO. They must ensure that their discussions with commercial representatives contain no promises or commitments to award of a contract, or otherwise create the appearance of binding NCSA or NATO. Under no circumstances shall NCSA personnel, aside from duly appointed Contracting Officers and other duly authorized personnel, enter into formal contract negotiations, obligate NATO procurement funds, place orders, modify contracts or execute contracts for the provision of supplies or services to NCSA, or in any way obligate NCSA or NATO.

i. NCSA procurement staff shall not offer commercial contracts to serving NATO staff members.

18. Relations with Industry.

a. NCSA's function as a service provider requires close interaction with industry at various levels, from senior leadership down to the working level. Interaction with contractors, contractor personnel, and industry representatives must be conducted in a coordinated manner to ensure that decisions are taken at appropriate levels. Not only does this ensure compliance with NATO financial and contracting regulations, but avoids situations where NCSA personnel exceed the scope of their authority, making unauthorized commitments that may have a detrimental effect on NCSA.

b. Industry initiatives may involve loans, displays, or tests of equipment; providing NCSA speakers at widely-attended industry gatherings; inviting guest speakers from industry to NCSA events; consultancy or studies of technical or organizational issues; and the like. These initiatives are generally cost-free, and take place at a pre-contractual phase, before requirements are developed. While they hold the potential for tapping into industry expertise, they also carry with them the potential for unfair treatment of potential competitors if handled incorrectly.

c. Accordingly, any industry initiatives which go beyond routine interaction in connection with ongoing contracts must be reported to and coordinated by the NCSA Chief of Staff or by the NCSA Technical Director. The NCSA Chief of Staff or Technical Director will lead a team of functional experts – technical, contractual, legal, and financial – which will provide advice and input on industry initiatives. Such initiatives must be appropriately staffed, and are subject to approval by the Director, NCSA, as part of a coordinated program of interaction with industry. Staffing of such initiatives must include coordination with the NCSA Financial Controller and the NCSA Legal Advisor.

d. Industry initiatives must be constructed in such a way that they do not create unfair competitive advantage for particular firms. They should be used judiciously, because of the potential they hold for controversy. Care must also be taken to separate these initiatives from corporate sponsorship of morale and welfare events, which are allowed under separate authority in limited circumstances. In any event, care must be taken to avoid any action that appears to officially endorse a particular company's product or services.

e. Initiatives of this nature will be documented and governed by written agreements with the company or companies involved. Staff members participating in any talks on such initiatives shall inform the involved companies that no action should be undertaken by industry until a written agreement is signed by both parties.

f. Written agreements will, at a minimum, contain provisions covering the following issues: The nature of the initiative; non-disclosure of NCSA and NATO information; NCSA ownership of any resulting work product; NCSA's right to release such work product to future competitors for any follow-on work; the requirement that any

studies must provide non-proprietary solutions; and an acknowledgment that participating companies will not receive any preferential treatment in the contracting process. Staff members will not initiate any action with industry in this regard, nor give any directions to industry, until the above requirements have been met, and a signed agreement is in place. Agreements of this nature will be signed by the NCSA Contracting Officer.

g. As an exception to the paragraphs above, attendance by NCSA personnel at industry conferences, and invitation of industry speakers to NCSA events do not require written agreements, but do require advance notice to the NCSA Chief of Staff or Technical Director to ensure visibility of such initiatives. Attendance at such events may be approved at the Division Head or Commander level. When providing speakers to industry events, NCSA must take an even-handed approach, without preference for single vendors. In addition, NCSA should generally aim at widely-attended events in preference to in-house, corporate events. Likewise, invitation to NCSA events and conferences must be applied evenly across industry as well.

h. Any studies, consultancy, or similar work product resulting from an industry initiative must be the subject of an independent, critical evaluation by NCSA personnel. Such reviews should employ a "devil's advocate" approach, looking at alternate options in addition to those produced by industry.

19. Contacts with the Media and the Public.

a. Staff members shall not conduct business with the media without prior coordination with the NCSA Public Affairs Officer. Specifically, staff members shall not make or release for publication through the press, radio, television or other agencies of public information, statements on matters in any way related to the aims and activities of NCSA or NATO. They shall refrain from giving interviews or supplying off-the-record information to the media without prior authorisation by the Director, NCSA or his delegee. When interacting with members of the media, staff members shall observe the utmost discretion with regard to matters related to NCSA. Further information on this matter may be found in NCSA's Public Information Strategy.

b. When interacting with the media and the public, staff members shall ensure that they act in a professional manner, consistent with NCSA's good image and reputation.

c. In order to maintain a positive image of NCSA and NATO, staff members should not air personal complaints or grievances regarding NCSA in public. Such grievances should be brought to the attention of the employee's supervisory chain, other management officials, or to the Director, NCSA. For civilian employees, this may be done through the Civilian Staff Association.

20. Acknowledgment. Each NCSA staff member shall sign an acknowledgment indicating receipt of an overview of this directive (see Annex A). In signing the acknowledgment, staff members certify that they have read and understood these NCSA Standards of Conduct and that, as a condition of employment, they agree to follow them. The acknowledgment will form a part of the employee's personnel file.

21. Effective Date and Amendments. This directive will come into force upon signature and will remain in effect until superseded or rescinded. It may be revised and amended as appropriate. This directive is not intended to have retroactive effect.

ULRICH WOLF
Lieutenant General, DEU A
Director NCSA

AMENDMENTS/COMMENTS
Users of this directive are invited to send comments/amendments and suggested improvements to the NCSA Legal Office

ANNEX A TO
NCSA DIRECTIVE 40-7

NATO COMMUNICATION &
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SERVICES AGENCY
B-7010 SHAPE-BELGIUM

AGENCE OTAN DE SERVICES
DE SYSTÈMES D'INFORMATION
ET DE COMMUNICATION
B -7010 SHAPE- BELGIQUE

Telephone: +32 6544 XXXX
Fax: +32 6544 XXXX

Email: NCHQ@ncsa.nato.int

(Insert Document Number)

TO: MAP Division, NCHQ

SUBJECT: Acknowledgement of Receipt of NCSA Standards of Conduct

DATE: (DD/MM/YYYY)

REFERENCE: NCSA Directive 40-7 Standards of Conduct

I, the undersigned, acknowledge that I have been briefed on the referenced NCSA Directive. I confirm that I have read and understood the attached overview of its provisions, and that I understand my obligation to read and abide by the terms and conditions contained in the referenced directive.

Signed:

(Insert Signature Block)

OVERVIEW: NCSA STANDARDS OF CONDUCT

Scope, Applicablity, and Purpose. These standards of conduct apply to all NCSA staff members, both military and civilian. Violations may result in disciplinary action for civilians. Military violations may result in return to national duty and referral to national authorities for action. This document provides an overview; more detail is found in NCSA Directive XX-X, which can be found on the NCSA HQs website. Each NCSA staff member has an obligation to comply with that directive. Any questions which cannot be resolved by consulting its provisions should be addressed to the NCSA Legal Advisor.

Performance of Duties. Staff members are expected to carry out their duties in a manner compatible with their status as representatives of the Agency, and shall avoid any action or activity which may reflect adversely on their position or on the good reputation of NCSA.

Equal Treatment and Non-Harassment. In carrying out their official duties, staff members shall treat their colleagues and others with whom they come into contact with respect and courtesy at all times. They shall not discriminate against others based on gender, race, ethnicity, national origin, religion, belief, age, or sexual orientation. Staff members shall not suffer reprisal or retaliation for preventing or reporting harassment or discrimination.

Use of Official Resources. All official resources provided to staff members by NCSA, whatever their nature, are for authorized purposes only. Any private, unofficial use shall be limited to a minimum. All work products created by NCSA staff members for NCSA or NATO purposes are the intellectual property of NCSA and NATO.

Duty of Confidentiality. NCSA Staff members shall exercise the utmost discretion in all official matters, safeguarding information on matters related to the aims and activities of NCSA and NATO, as well as information of a private nature.

Conflicts of Interest. NCSA Staff members shall avoid any conflicts of interest. Staff members shall not use their official position with NATO, or information gained from it, for personal gain, or for the gain of friends or family.

Off-Duty Activities. NCSA staff members shall not engage in paid outside employment or ongoing commercial business activities without prior written approval. NCSA staff members shall not hold public, political office without the prior written consent of the Director, NCSA. Staff members must avoid any involvement with organizations that advocate extremist agendas or the use of violence, such as racist or terrorist organizations.

Recruitment and Personnel Actions. When involved in recruitment or personnel actions, managers shall ensure that their decisions are based on the best interests of NCSA, with paramount importance given to merit. Favouritism and bias must be avoided.

Relationships between Supervisors and Subordinates. Supervisors and subordinates shall treat one another with courtesy and professionalism, bearing in mind the respect due

to those of superior rank. Staff members shall avoid personal relationships with supervisors or subordinates that create the possibility of a conflict with their official duties.

Gifts from External Sources. NCSA staff members must decline any offer of gifts, hospitality, or other benefits that could influence them in the performance of their official duties.

Ethical Considerations in Procurement and Contracting. NCSA staff members involved in the contracting and procurement process must avoid any appearance of a conflict between their personal financial interests and their official duties. Staff members involved in the procurement process must take special care to safeguard sensitive, procurement-related information. They must avoid providing commercial firms with an unfair competitive advantage. Staff members shall not enter into unauthorized commitments in the name of NCSA or NATO.

Relations with Industry. Any industry initiatives which go beyond routine interaction in connection with ongoing contracts must be reported to the NCSA Chief of Staff, appropriately staffed, and approved by the Director, NCSA, as part of a coordinated program of interaction with industry. Such initiatives of this nature will be documented and governed by written agreements. No action should be undertaken by industry until a written agreement is signed by both parties.

Contacts with the Media and the Public. Staff members shall not conduct business with the media without prior coordination with the NCSA Public Affairs Officer. When meeting members of the media at social or public events, staff members shall observe the utmost discretion with regard to matters related to NCSA.