جامعة الملك فهد للبترول والمعادن
King Fahd University of Petroleum & Minerals

KFUPM Code of Conduct (IS FAIR)

Revision Record

Date	Ver	Reason for Change
April 28, 2020	0.0	Initial revision adopted from reference by KFUPM Code of Conduct Committee
May 6, 2020	0.0b	Second revision by KFUPM Code of Conduct Committee
May 7, 2020	0.0c	Minor Revision + Document formatting
May 24, 2020	0.0d	Compilation of comments and proposed changes by selected reviewers
June 1, 2020	0.1	Integration of comments and changes after consultation
June 3, 2020	0.2	Minor changes, removed IAB and BOT, ready for distribution
July 15, 2020	0.3	Final review before translation
August 23, 2020	0.4	Final approved by UC
January 11, 2022	0.5	Renewed approval by UC
August 1, 2026	0.6	Minor changes, updated 7.1, ready for distribution

Version Control

The Code will be reviewed at least annually and is subject to modification. The custodian keeps one set of the originally approved and signed version. Any revisions are to be made to that existing version and no other and are propagated from there. The most up-to-date version of this document will be published on KFUPM's intranet and on the University's public website, or otherwise distributed by the University through other means as appropriate.

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1 Overview of "IS FAIR"

This Code of Conduct (the "Code") is issued by King Fahd University of Petroleum and Minerals (KFUPM, "the University") for guidance and to set a minimum level of expectations concerning ethical behaviors in the University. This Code is not intended as a substitute for other business or departmental policies not contained herein. Therefore, this Code should not be regarded by the University Affiliates as a substitute for familiarizing himself or herself with the appropriate regulations or, where necessary, obtaining specific advice concerning a specific situation.

Importantly, the Code does not intend to emphasize "misconduct" over conduct. It more so aspires to promote positive attitudes and behaviors rather than simply warn against negative ones. Additionally, the acronym "IS FAIR" has multiple important functions within the Code. It acts as a helpful mnemonic for readers to recall the structure and content of the Code after signing. Also, it highlights a key component of the Code, which is its function as a universal document for all members of the University community from the highest offices of the administration, to students, staff members, and residents. The Code is meant to be inclusive and hopefully is fair for all.

1.1 Scope

The Code is binding on all faculty, staff, management, and any other University employee, as well as contractors, subcontractors, visitors to the University, and family members of the aforementioned living in the University or visiting it. Persons enrolled at the University, both as graduate and undergraduate students, are also bound by this Code. Henceforth, any member of these groups shall be referred to in this Code as a University "Affiliate" and shall be treated with status equal to any other member, as this Code does not distinguish between any of these aforementioned groups.

1.2 Objective

The University adopted the Code to assist its members with the University's goals of conducting its business and affairs per applicable laws, rules and regulations, and maintaining the highest standards of ethical conduct, fair dealing, good faith, and honesty.

1.3 Reporting

When necessary, Affiliates should strive to identify and raise potential issues before they lead to problems and should ask about the application of the Code whenever there are questions as to whether a violation of the Code has occurred or will occur. Any Affiliate who becomes aware of any existing or potential violation of the Code should promptly notify his or her instructor, line manager, or the Deans of Student, Faculty and Personnel Affairs.

Notifications or reports required under this Code should be made to the University's President. The University shall take such disciplinary, corrective or preventative action, including termination, as it deems appropriate to address any existing or potential violation of this Code brought to its attention.

1.4 Confidentiality

Confidentiality regarding those who make compliance reports and those potentially involved is maintained to the highest extent possible during a compliance investigation. The University does not tolerate retribution, retaliation, or action of any kind against any person for lawfully reporting a situation of potential noncompliance with the Code.

The senior management of the University has a responsibility to create, within the University, an environment in which compliance with the Code is treated as a serious obligation and violations of the Code are not tolerated.

1.5 Compliance

After reading the Code, every Affiliate must sign (electronically on the portal or by some other means) an acknowledgment indicating that he or she has read, understood, and, will do the utmost to comply with the Code. This signage may be accompanied by a short "comprehension check" and may take place periodically, especially after updates have been made to the Code.

2 Integrity

2.1 Conflict of Interest

All decisions must be made in the University's best interest, and Affiliates must uphold standards of both high quality and fair competition in their day-to-day engagement. A "conflict of interest" arises when an individual's judgment is or may be influenced by considerations of personal gain or benefit to the individual or another person at the expense of the University.

Affiliates may engage in other activities or businesses outside their responsibilities at the University as per the agreement that governs the relationship between both involved parties, provided they disclose, in writing, any actual or potential conflicts of interest between their private activities and the University's activities.

2.2 Bribery and Corruption

Giving or accepting bribes, directly or indirectly is forbidden, no matter what the form is, including favors, and will be subject to disciplinary action which may ultimately lead to dismissal and, if appropriate, criminal proceedings. Facilitation payments are also prohibited and are considered the same as bribery.

2.3 Gifts and Hospitality

In general, Affiliates are strongly discouraged from giving or accepting gifts or hospitality, not only to protect the reputation but also to protect the University's members against unfounded allegations of improper behavior. Gifts (including donations), favors, or hospitality that would influence or appear to influence the recipient to act other than in the best interests of the University must not only be refused but also reported.

Acceptable Gifts and Hospitality

<table>
<tr><th>Acceptable gifts, donations, and hospitality (given or received)</th><th>Actions</th></tr>
<tr><td>Any Gift < SR 100</td><td rowspan="3">□ No pre-approval is required
□ Report to your immediate line manager or HR
□ Maintain a record of all given or received gifts or hospitality, unless trivial (pen, small capacity memory stick, and other inexpensive or marketing items)</td></tr>
<tr><td>Business Meals < SR 300/person</td></tr>
<tr><td>Invitations (sports events) < SR 400/person, max 2 times annually with the same partner</td></tr>
<tr><td>Travel & accommodation</td><td>□ Up to 14 days requires the approval of the immediate line manager
□ Beyond 14 days requires approval by the President</td></tr>
<tr><td>Gifts or invitations from government officials or diplomats</td><td>Maintain a record of all given or received gifts or hospitality</td></tr>
<tr><td colspan="2">Exceeding the above limits requires the approval of the immediate line manager or the President of the University.</td></tr>
</table>

Prohibited Gifts and Hospitality

<table>
<tr><th colspan="2">Unacceptable Gifts (Given or Received)</th></tr>
<tr><td>□ Cash or cash equivalents (e.g. vouchers or tickets)
□ Personal services
□ Loans
□ Gifts or hospitality of an inappropriate nature</td><td>□ Events or meals where the business partner is not present
□ Gifts or hospitality when critical business decisions are being made
□ Any of the above through an intermediary, such as a charity</td></tr>
</table>

If you do have to refuse a gift, do not be embarrassed. Refer to the University's policy and explain that you are unable to accept their generosity.

2.4 Political Activity—Nomination for Public Service

Affiliates, who wish to engage in the community's activities including standing for election to public office provided that their personal views and opinions do not represent the University's position, must i) do so at their own time and expense, ii) declare that they do not represent the University, iii) inform the University in writing beforehand, and iv) request any necessary leave of absence to serve in such appointments.

2.5 Insider Dealing

The University may collaborate with organizations that are publicly traded. Consequently, it must abide by the applicable laws and regulations on insider dealing in shares or other securities.

The members must exercise their integrity when they find themselves in the position of working with stakeholders who may disclose inside information about the organization which is not generally available to the public. No confidential information gained through collaboration with a stakeholder should be used to personal advantage for insider dealing and buying shares, or other securities in that organization.

Seek advice from the University if you are considering a transaction in shares or other securities and have any doubt about its propriety.

2.6 Computer Use

The computing resources at the University provide access to valuable University resources, sensitive data, and internal and external networks. Affiliates must utilize these resources in in a responsible, ethical, and legal manner. In particular, Affiliates must refrain from actions that jeopardize the University systems and expose them to the risk of hacking, such as clicking on unknown links or responding to phishing emails, and must also refrain from installing prohibited, illegal, unlicensed, or pirated software. Installing pirated software or software that circumvents the cybersecurity measures of the University (e.g. TOR, proxy avoidance tools, peer-to-peer downloads, anonymizers, etc.) is strictly forbidden.

3 Safety

Protecting our health, safety, security, and the environment (HSSE) should be a daily priority for everyone within the University community. Make sure you and any family

members or visitors on the University's campus are familiar with the laws, regulations, policies, and procedures that apply to behavior at the University. Broad principles include:

- Do no harm to people—This includes taking precautions against the spread of germs, such as bacteria and viruses, that may cause illness in humans. This also includes putting oneself at risk.
- Protect the environment—This includes practicing the "three Rs" of "Reduce, Reuse, Recycle" whenever possible.
- Comply with all applicable HSSE laws and regulations

HSSE rules include, but are not limited, to complying with the relevant laws, standards, and procedures, intervening in unsafe or non-compliant situations, and respecting our neighbors.

The University's owned and operated facilities must operate with the necessary permits, approvals, and controls that are designed to protect the health, safety, and environment. No one should carry out tasks for which they are not trained, competent, medically fit, and sufficiently rested, alert, and free of any impairing substances.

The University strives to provide a safe, productive work environment for its Affiliates by ensuring that the workplace is free from substance abuse, that is, the use of illegal drugs, the misuse of legal drugs or other substances, and the use of alcohol. This policy applies under applicable legal and regulatory requirements.

Affiliates are prohibited from being at work or attending to the University's business while impaired by drugs or alcohol. Affiliates must not use, possess, sell or distribute illegal drugs, or misuse legal drugs or other controlled substances. Smoking is prohibited inside all public buildings of the University. Alcohol consumption violates the laws of the Kingdom of Saudi Arabia.

4 Financial Assets

The University's financial assets may be of considerable value—whether financial or physical assets or intellectual property—and are intended to be used only to advance the University's business mission and goals. These assets must be secured and protected to preserve their value. All line management of the University is expected to employ sound business practices and exercise prudent financial management in their stewardship of University financials and assets.

All Affiliates are entrusted with the University's assets to do their jobs. We are all personally responsible for safeguarding and using the University's assets appropriately. Such assets include buildings, sites, furniture, equipment, tools, supplies, communication facilities, funds, accounts, computer programs, information, technology, documents, know-how, data, patents, trademarks, copyrights, time, and any other resources or property of the University. As stated in Section 3, environmental resources must be included here, and all environmental waste (e.g., water, paper, energy) also be considered financial waste.

In particular, the University's classrooms, laboratories, offices, and residential units contain very expensive, premium furniture and equipment to ensure the highest quality of comfort. This property must be protected from damage due to negligent use, such as damage caused by pets, unsupervised children, or the use in situations or arrangements not conducive to protecting the life of this property. Every Affiliate is responsible for protecting these assets and may be charged for violating this responsibility. Options exist, at the resident's request, to have the resident's furniture instead of that provided by the University.

5 Academics & Research Ethics

5.1 Objectivity, Integrity, and Quality

As an education and research institution, the University must maintain objectivity and balance in its research efforts. The University does not work to advance the interests of any external organization. The University and its Affiliates are expected to exhibit the highest levels of integrity, honesty, and responsibility while conducting their research and other educational objectives. Bias and misrepresentation in research and reporting of results are not allowed. To achieve research integrity, the following should be adhered to:

- Avoid research misconduct (fabrication, falsification, or plagiarism) in proposing, performing, or reporting research.
- Apply scientific reasoning in research.
- Explore existing literature before publishing any research.
- Remain current in your area of research.
- Reveal potential conflicts of interest when conducting research.
- Base your research on the most accurate data and information available.
- Data that cannot be found cannot be made up.
- Be impartial in forming and developing conclusions.
- Maintain transparency in conducting all research.

5.2 Falsification and Fabrication

Any manipulations of research materials, equipment, or processes are considered falsification. Such an example is the manipulation of images by adding or removing content to mislead readers or misrepresent research results. Not accurately representing findings in the research record by changing or omitting data or results are also considered falsification. Any making up of data, observations, events, or results that never occurred in the running of experiments and reporting them is considered a fabrication. Falsification and fabrication may result in the dismissal of the offender(s) or canceling of the granted degree.

5.3 Plagiarism

Proper credit must always be given with sufficient formatting for work performed and reported by others. Plagiarism is not tolerated. Using a sentence, paragraph, phrase, or concept that is not in common use without citing sources is considered plagiarism and is a major offense in the academic and professional world. It may result in the dismissal of the offender(s), potential lawsuits for the University, and a tainted reputation. Acts or allegations of plagiarism could seriously damage individuals' reputations and that of the University. Affiliates are also responsible for understanding and adhering to the software license agreements they utilize and the limitations of their use.

5.4 Respect for Subordinates

No Affiliate should take advantage of subordinates in terms of academic work. This may include, for example, any pressure to assist in publications or other academic endeavors to further one's career, especially without fair credit and/or compensation. This code acknowledges that instances must be reviewed case by case, but encourages possible infractions to be brought to light.

5.5 Cheating

Any form of an attempt to improve one's score on any assignments or assessments by any means outside of one's ability will be considered cheating, which is not tolerated. Unapproved use of physical notes, electronic devices, or other forms of communication or deception deemed inappropriate may result in penalties up to and including dismissal or expulsion. Any falsification in terms of reporting attendance for classes or other events/meetings falls under this category of cheating.

5.6 Protecting Confidentiality Agreements

Affiliates are not allowed to disclose any information entrusted in confidence by the University or its stakeholders. This policy applies to external copyrighted information

purchased and/or obtained by the University, or any other confidential or contractual information. What is discussed in confidence must remain within the University.

6 Information

The following sections discuss information that is kept and/or generated within the University. A clear distinction should be made between what is considered confidential and what is not. Non-confidential academic information should freely flow from the University to the population at large as a matter of course. However, confidential information should remain within the University unless specifically authorized by an instructor, line manager, or the Deans of Student, Faculty and Personnel Affairs. Therefore, it remains the responsibility of these authorities to regularly inform Affiliates about what information is to be considered confidential. This Code of Conduct acknowledges there may be case-by-case uncertainty and strongly advises Affiliates to inquire whenever there is doubt.

6.1 Public Disclosure

Whilst the University promotes openness, it must guard against uncontrolled disclosure of information that may jeopardize its reputation. To ensure compliance, public disclosures must only be made by authorized spokespersons. Any public write-up or oral communication that can be attributed to the University may constitute public disclosure. This disclosure includes not just regulatory filings, but information issued to the public, such as press releases, speeches, presentations, and other information accessible to the public.

Affiliates must not disclose information to the public (unless they are specifically authorized to do so) and must always keep confidential information confidential unless specifically permitted to reveal them, internally or externally. This rule is not to be violated, whether for benign reasons or otherwise. Those authorized to make disclosures must ensure that information provided to the public is true, accurate, and complete (stating all material facts). No disclosure should be misleading. The loss or theft of any information (such as the theft of your computer) must be reported to your department head or line manager immediately.

6.2 External Presentations

Affiliates should make their unit head aware of external presentations, speeches, videos, articles, and publications that include potentially confidential information. In particular, press releases and all interactions with the media have to be cleared in advance by the President and the University Public Relations' authority. Immediate line managers must be consulted before any engagement with the media, including, for example, press conferences or interviews.

6.3 Social Media

Posting of pictures, videos, or privileged information to social media (Facebook, Twitter, Youtube, etc.) that knowingly or unknowingly denigrates, criticizes, exposes, or otherwise negatively reflects on the academic stature, facilities, culture, or image of KFUPM is strictly prohibited, as it can expose the University to needless risks and bring critical scrutiny to the community, lifestyle, and other aspects of the University's privacy. Affiliates agree to only post pictures, videos, or information, even if of personal nature, which reflect our community positively, and which do not subject the university to unnecessary scrutiny or criticism due to lifestyle choice or other reasons, and remains in accordance with University guidelines, local customs, and applicable laws.

6.4 Intellectual Property

Intellectual Property (IP) includes patent rights, trademarks and service marks, domain names, copyright (including copyright in software), design rights, database extraction rights, rights in know-how or other confidential information (sometimes called 'trade secrets' or 'proprietary information') and rights under IP-related agreements. Every Affiliate must strive to protect the University IP and those provided by its collaboration partners and other stakeholders.

6.5 Record Management

The University must be able to retrieve records quickly and reliably. When each record's retention period has ended, appropriate disposal is required, unless there is a particular need to continue holding the records, such as an investigation or litigation. Records must be managed securely throughout their life cycle in line with their importance to the University and compliance with legal, tax, regulatory, accounting, and business retention requirements. Before leaving your post, ensure to transfer custody of all relevant records, whether moving position inside the University or leaving the University entirely.

7 Rights

7.1 Equal Opportunity

The University provides equal opportunity to all Affiliates and job applicants and does not tolerate unlawful discrimination of any kind, for example, on gender, ethnicity, race, creed, pregnancy, or maternity. The University is committed to creating and complying with legal human resources policies and practices in all aspects of employment, including recruitment, selection, hiring, evaluation, promotion, training, discipline, development, compensation, and termination. The University will ensure that its employment-related decisions are based on relevant qualifications, merit, performance, and other job-related factors.

This section is to be read together with the KFUPM Equality, Diversity and Inclusion Policy and the KFUPM Labor Relations & Workers' Rights Policy, both published on the University's sustainability website.

7.2 Nepotism

Nepotism is employing or favoring relatives or members of the same family, culture, or background, or making employment or other similar decisions based on requests of favor from either inside or outside the University (i.e., negative aspects of “Wasta”). Nepotism is destructive to the workplace and is considered abhorrent by the University. Never make employment decisions, including hiring, evaluation, promotion, training, discipline, development, compensation, and termination of employment based on any criteria other than merit and education or business considerations.

When approached with any such requests or favors, explain politely that this is not tolerated in the University. If you have questions about the workplace culture or would like to report any concerns about equal opportunity, contact the Dean of Faculty and Personnel Affairs.

7.3 Harassment

The University will not tolerate harassment in the workplace—that is, any action, conduct, or behavior that any individual or group of individuals finds unwelcome, humiliating, intimidating, or hostile. For example, sexual harassment, regardless of the genders involved, will not be acceptable in any form. The consequences for an Affiliate who engages in harassment are serious and may include disciplinary action, up to and including dismissal or termination of their contract, and potentially legal action.

University Affiliates (including faculty, staff, and students) must keep in mind actions and attitudes to be undertaken and those that should be avoided. Prohibited behaviors include all that infringe on another person’s private life and circumstance. Unwanted physical contact, non-work-related or potentially offensive discourse, and all other instances of “snooping or stalking” constitute such infringement.

In order to sustain a non-hostile environment, some proactive behaviors and attitudes include treating all others with equal respect and dignity regardless of gender, ethnicity, or any other individual differences. Subordinates, in particular, should never feel coerced into any interaction, sexual or other, concerning their work. All KFUPM Affiliates should also take the responsibility to report any CoC violations toward themselves or others.

As part of the University’s objective to create a productive work environment, please try to:

- Treat all Affiliates, including visitors and other stakeholders, with respect, regardless of gender.
- Create a work environment free from harassment.
- Learn about local behaviors, practices, and customs that may differ from those familiar to you.
- Use an informal approach to resolve the issue where appropriate before raising a formal grievance.

If an Affiliate feels he or she has been harassed, there are several ways to raise the issue both informally and formally. In most instances, immediate line management or HR should be the first point of contact.

The relation between and among genders across the entire hierarchy of the University (students, faculty, staff, leadership, etc.) must be based on respect and equality. The University will not tolerate any misconduct related to mixed-gender interaction irrespective of how it is initiated. Also, the University regards the use of authority to gain any mixed-gender personal favors as most abhorrent and will treat it accordingly. Where specific, more detailed mixed-gender interaction guidelines exist, they must be obeyed.

7.4 Neighborly Behavior

The University prides itself on having a friendly culture. Every Affiliate must ensure they conduct themselves in and out of the workplace with friendly behavior, especially to their neighbors in the office and at home. Avoid talking loudly on the phone or to a visitor in your office and be mindful of the noise to your neighbor. Avoid late or loud gatherings at home and advise your visitors to park in a way that is respectful of your neighbor's property. You must inform your neighbors beforehand if you have a large gathering planned and seek their permission for any potential disturbance.

7.5 Attire and Appearance

While in public areas of the University campus, modest attire along the standards of the Kingdom of Saudi Arabia should be worn at all times by Affiliates, including any family members or visitors. Especially while performing work duties, all Affiliates are expected to dress professionally. Everyone's attire and appearance, as well as their conduct, are expected to show respect for the Kingdom and the University. Where a specific, more detailed dress code exists, it must be obeyed.