



Active Shipbuilding Experts' Federation (ASEF) Code of Conduct

Forward: The Code of Conduct here set out by the Secretary General 2015/2016 is a general guideline towards the final version of the Code of Conduct that ASEF needs to follow after the trial period as stated in the Charter comes to an end and a permanent secretariat is established at that time.

1. General Policies:

- i. There is no specific place of register for the ASEF, meaning that there are no specific laws of any country that will apply, and the Council as well as the Assembly members need to ensure that their conduct is not in violence of rules and regulations of any of the leading countries of the world, unless it is appropriately documented and agreed among the Council members or the Assembly members as the case may be. The Secretary General should always be on alert of such possible misconducts and deal with them accordingly
- ii. While the nature of the ASEF does in no way suggest that any discussion on commercial matters that will bind the members will take place, the Secretary General should promote awareness that any discussions may not be lead to such direction, and at the very start of any of the meetings, the Secretary General will ensure that the awareness is in place.
- iii. During the trial period, as set in the Charter, the basic funds for operation of ASEF is generally provided by the regional association where the Chairman of ASEF comes from, but this should not in any way be construed as a leeway to handle the expenditures of ASEF in an ambiguous way. The Secretary General shall always carefully monitor the accounting practices to ensure that pertinent records are kept.
- iv. Any decisions taken by the Assembly, Council, or the Secretariat on behalf of ASEF should be documented so that any reference is made on the decisions taken has a reasonably complete background information to support those decisions in writing. Any associate minutes or memoranda should be written in such a manner to the satisfaction of the Secretary General.
- v. Secretary General's conduct in association with the policies hereinabove should be reported in conjunction with the Council Meeting
- vi. ASEF is committed to transparency, and any reports or statements made

through the activities of ASEF will respect transparency so that any questions raised in connection with those reports or statements will be recorded together with the clarifications or answers made.

2. Accounting Policies:

- i. All ASEF related incomings and outgoings, such as expenditures and remunerations should be recorded regardless of who will be the bearer (in case of expenditures) or the receiver (in case of remunerations, if any).
- ii. All expenditures and remunerations, if any, shall be summarised in a report, even in the first three years of operation for reference of the Council, and details of such report shall be made available from the outgoing ASEF Secretariat to the incoming Secretariat, giving all possible answers to the queries made by the incoming Secretariat.
- iii. All expenditures should be documented with a special note on why such expenditure was necessary, and that the sum spent was reasonable, which is to be approved by the Secretary General. Secretary General's own expenditure should be approved by a Council member, the Council Member's expenditure should be approved by the Chairman or a Vice Chairman and finally acknowledged by the Secretary General, and the Chairman or Vice Chairman's expenditure should be approved by the council member and finally acknowledged by the Secretary General.
- iv. Annual Expenditures and Remunerations shall be summarised in a report to be prepared by the Secretariat and approved by the Secretary General, for onward conveyance to the Secretary General of the following period.
- v. There would be certain expenditures which the Secretariat need not be informed, if such is borne by the members, but the Secretary General, would be encouraged to have a general grasp of the amount through a voluntary reporting arrangement between the members and the Secretariat for amounts of fairly large size.

3. Travelling Policies:

- i. Those who engage in travelling for ASEF activities, regardless of who bears the cost finally, should be reimbursed with costs and expenses. Such costs and expenses are to be decided on basis of the travel policies that are generally practised at the regional association where the traveller belongs to, and that regional association should confirm that the reimbursements are made in accordance with their travel policies. It is however acceptable for those who undertake the travel to claim expenses on basis of the travel policies of the

- company he belongs to, only if those sums were actually spent.
- ii. Should any travelling be done with costs or expenses outside of the travel policies of the regional association which the traveller will generally follow, such travel costs should be documented for acknowledgment, where the reason for any deviation should be given. The acknowledgment of those costs and expenses should be made by the Secretary General, while the Secretary General's travel costs and expenses should be approved by a Council member and the Council Member's cost and expense should be approved by the Chairman or a Vice Chairman and the Chairman or Vice Chairman's expenses should be approved by a council member and finally acknowledged by the Secretary General.
 - iii. It is acceptable for ASEF to engage in an arrangement with the company who employs the traveller for ASEF activities so that the disbursements are made with that company whereas the traveller will settle his expenses with the company as if he travelled for the activities of the company he belongs, as long as all itemised expenditure copies are made available to ASEF.
 - iv. Secretary General may set and amend the details of the travel policies whenever found necessary, and shall report this to the Council, where the Council may give certain instructions to the Secretary General in implementing such travel policies.
4. Confidentiality and Cyber Security and Cyber Safety
- i. A document administration system should be in place to classify information within ASEF. Secretary General should set the principles of such document administration system and report this to the Council.
 - ii. If the regional association has a document administration system in place, and if the Secretary General finds that this system can be employed, the Secretary General may adopt the principles of such system to that of ASEF, but always attentive not to allow any unintended confusion because of similarity in the principles between the ASEF document administration system and the regional association's document administration system. Access to information should be clearly separate and independent from those of the regional association.
 - iii. The Secretary General should have the system audited from time to time by the internal resources in the first instance with a view to having a more rigorous audit by accredited bodies at an appropriate time. Any findings during the audit should be analysed and reported to the Council in order for the Council (or the Assembly) to take necessary accordant corrective actions.

- iv. Secretary General should be responsible for confirming that all the IT tools used by ASEF for its activities are compatible to the intended work and necessary updating should take place with due care that ASEF activities are not stopped because of deficiencies discovered.
 - v. Intellectual property rights of information belonging to ASEF as well as to ASEF members are to be respected, and the Secretary General shall keep pertinent records of the upkeep of such information, and shall further ensure that the filing system is designed to fulfil the necessary requirements. Abuse of information containing intellectual property rights of those outside ASEF or its members should be carefully monitored in order to avoid occurrence.
5. Human Resource Policies and Outsourcing Policies:
- i. It is the general understanding that the human resources to operate ASEF on basis of employing personnel from regional association(s) on a part time basis. Therefore, payments or remunerations for the services rendered by those employees from ASEF would not be personal.
 - ii. It will be the responsibility of the Secretary General to secure the necessary employees from the regional association or otherwise, provided that such employees are not altered or become unavailable due to engagement in other duties that the part time arrangement so permits, and must be able to secure alternative arrangements with those employees that their ASEF work commitments are not disturbed or delayed. For such purpose the employees of ASEF secretariat must be clearly assigned with their job descriptions.
 - iii. It is understood that the employees of member companies of the regional association need to be outsourced to carry out the tasks of ASEF, and while the arrangement will rest in the hands of the regional association and its member companies, including any remunerations for services, the Secretary General needs to be informed through a reporting system to have a reasonable grasp of the sums involved, so that such sums would serve as reference in the future.
 - iv. The Secretary General, may employ a legal advisor capable of dealing with international issues, an accounting advisor also having knowledge on international practices and a technical advisor, who will act under the Secretary General's supervision to contribute to the work of the Secretariat . The choice of those personnel are firstly from the regional association under part time employment, and secondly by general outsourcing.
 - v. If any of the Secretariat personnel as well as others engaged in the activities of

ASEF engages in his/her activities (as a part time arrangement) which may be interpreted as ASEF activities but may also be interpreted as the activities of regional association or the activities of the members of the regional association, acknowledgment by the Secretary General of the report will be required to apportion his contribution to the ASEF activities.

6. Documenting and Filing Policies:

- i. All documents, hard copies or soft copies to be filed at ASEF, is to be in English. Any associated communication in local languages will not be considered for filing and may not be retained as record, unless an English version is issued and accepted for filing. The Secretariat shall regularly administer the ASEF standard forms to assist the filing of documents with consistency. However, local language notes may be conveniently used for communication purposes, under the condition that such notes will not be referred to in any documents filed at ASEF.
- ii. The Secretariat and the subsidiary organs, may, in order to suit their work performance, decide to fix the formats, including document fonts and other details of the documentation, for the ASEF standard forms referred to in 6. i., and report to the Secretary General stating the reason for their decision.
- iii. Document retention period must be set by the Secretary General and made known to the Secretariat as well as ASEF members to ensure alignment among different member associations.
- iv. Filing system is to be designed to fulfil the needs of those information filed for the upkeep of the intellectual property rights vested in such information, and a regular check on the situation should be incorporated in the system.

7. Disciplinary Policies:

- i. The working days will accord to those routinely practiced at the location of the headquarters.
- ii. The working hours will accord to those of the regional association where the Chairman comes from.
- iii. There will not be any disciplinary training to be planned by the Secretariat for the personnel working at the Secretariat, unless so instructed by the Council, after measures of certain happenings are considered also by the Council.
- iv. Where not mention is made on any disciplinary actions within this Code, the Secretariat and their personal will generally follow the existing disciplinary actions prevailing in the regional association.
- v. If any of the Secretariat personnel as well as others engaged in the activities of

ASEF engages in his/her activities outside of ASEF (as a part time arrangement), such will require prior approval of the Secretary General.

8. Schedule management policy:

- i. The Secretariat, under the leadership of the Secretary General, at all times, take necessary steps to monitor the convenience of Assembly Members, Council Members, Accredited Persons (Technical) for all ASEF related oncoming events, and take necessary steps to make adjustments in order to avoid conflicts with other events.
- ii. The Secretariat, from time to time remind Assembly Members, Council Members and Accredited Persons (Technical) on the core events, to ensure that those who have committed attendance will act accordingly.
- iii. The annual working plan, which is subject to the approval of the Assembly, shall always be updated with information so that this can be accessed by the Members.

9. Reporting Policies:

- i. The Secretariat will always bear the responsibility of communicating and reporting the necessary information to the Chairman, Vice Chairmen, Assembly Members, and Council Members, and shall always endeavour reports well formatted to serve such purpose.
- ii. While cognisant of the ever changing requirements for reporting in relation to the business of the organisation, the Secretariat shall, from time to time, be in touch with the Council Member associations/companies to update the reporting formats and contents of essential issues, such as activity reports, development of codes and procedures, association with possible new members, technical working group activities, association with external bodies, and the development of plans for the annual ASEF Forum.
- iii. The Secretariat shall keep an Action Log, to always grasp the tasks to be undertaken as they are discovered during the activities, and keep necessary records of the actions made,

10. Social association and entertainment policy:

- i. Expenditure related to social events as well as personal entertainments in the name of ASEF must be made in compliance with the local regional law pertaining to the country of the headquarter as well as the organisation policy, and the Secretary General should be made aware of such expenditures so that any corruptive means of entertainment costs are completely discouraged.
- ii. Personal entertainment using individual expenses outside the expenses of the

Secretariat may be allowed, but the person making the entertainment must abide by the rules to ensure personally and publicly that there is no involvement of ASEF, and if such conduct is in doubt, the person making such entertainment should consult the Secretary General. Any doubtful conducts should be refrained.

- iii. Any social events jointly done by ASEF and other organisations should be decided in accordance with similar principles and its execution is finally decided by the Secretary General, who will report to the Council.

11. Public relations policy:

- i. ASEF will focus on website function to upkeep public relations, while keeping other means of publicity to a minimum, bearing in mind that there is no basic need for any promotional activities as ASEF objective. Website updating should be done periodically.
- ii. Public relations should rely on English language communications, but regional association's language where the headquarter is located may be conveniently used to supplement the aim of the public relations, though such communication should not be retained as records of ASEF, unless properly translated into English and approved by the Secretary General. When such English translation of the public relations document is provided, the original language version is to be annexed in principle.

12. Any changes to this code:

- i. Any changes may be discussed within the Secretariat and the Secretary General may approve such changes, based on appropriate documentation of the proposed changes accompanying the reasons therefor, and further reported to the Council.
- ii. The Council, or any members may suggest changes which will be discussed at the Secretariat and the result of such study will be communicated to those who have suggested the change. Positive results of the study should be treated in the same way as those changes originated and discussed within the Secretariat
- iii. Changes in the code will be appropriately communicated to all ASEF members in a timely manner.