

EPRI

Code of Conduct



November 2021

A LETTER FROM ARSHAD MANSOOR

EPRI is an exceptional organization. We are dedicated to rigorous scientific and technical research, driven by intellectual curiosity and expertise. For over forty years, EPRI has built a reputation with our members and the public for excellence, independence, and transparency in our research. This achievement would not have been possible without our daily commitment to our values of integrity, objectivity, and the public benefit in every aspect of our work.



Our stewardship of this heritage is our most important responsibility. Our Board of Directors shares this view and expects management at all levels to lead by example. If you see something that does not seem right, please have the courage to speak up and report suspected violations. You can refer to EPRI's Reporting Policy for more information. Management will not tolerate retaliation against an employee who reports a concern in good faith.

This Code of Conduct is a product of teamwork, designed as a first point of reference that provides orientation in the intersecting area of values, policies and laws. As a living document, the Code of Conduct will continue to evolve with our business objectives and understanding of risk. I expect that we will all become familiar with its content and give our Code of Conduct more than a cursory read. In doing so, we continue to inspire the confidence and trust of the communities we serve.

A handwritten signature in black ink that reads "Arshad Mansoor". The signature is fluid and cursive.

Arshad Mansoor

President and Chief Executive Officer

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EPRI CODE OF CONDUCT

HOW TO USE THIS CODE

EPRI's Code of Conduct embodies our commitment to the highest level of integrity in our work and provides a guide for doing not only what is legally required, but also what is ethically right.

The Code of Conduct is designed as a living document, continuously updated to keep pace with changing legal requirements, ethics and compliance developments, business objectives, and risks. The web version of the Code contains the most current information on these topics. Specific EPRI policies, procedures, and other materials can be found on the EPRI Policy Framework space on Inside EPRI.

Of course, the Code of Conduct cannot address every possible situation that may arise in our work at EPRI. If we do not find an answer to a situation or ethical dilemma in the Code or in the policies and procedures referenced in the Code, we should seek a solution consistent with EPRI's values and guiding principles, use good judgment, and never hesitate to ask for help. We can reach out to colleagues and managers, contact the relevant risk and process owners or ask our Ethics and Compliance group.

When in doubt, ask:

- Is it legal?
- Is it the right thing to do?
- Does it reflect EPRI values and guiding principles?
- Does it comply with our Code of Conduct, policies and procedures?

If the answer to any of these questions is NO or if uncertain, you should discuss the situation as indicated in the reporting section of this Code.

EPRI CODE OF CONDUCT

HOW TO REPORT CONCERNS

While we are each responsible for following the Code, EPRI policies and applicable laws, we are also required to speak up if we observe or suspect violations.

If we have questions or concerns, follow the reporting process referenced in the applicable policy. If no reporting process is set forth in the applicable policy, then we should report our concerns to:

- Our manager or any member of management;
- A Human Resources Manager;
- Vice President, Human Resources and Diversity;
- Vice President & General Counsel;
- Director, Compliance; or
- EPRI's anonymous Ethics and Compliance Helpline.

Our Ethics Line

EPRI's Ethics Line is available 24 hours a day, 365 days a year to respond to questions or concerns about ethical or legal issues, including potential violations of EPRI's Code



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of Conduct and policies. The Ethics Line is operated by an outside company that will ask a series of questions about the particular incident. Applicable information is then forwarded to EPRI's Legal and Human Resources departments and is only shared with relevant people, so that appropriate action may be taken if possible. Any information provided is kept strictly confidential and one may choose to remain anonymous.

When to use the Ethics Line:

- If you have any concerns about how to handle a particular situation.
- If you know or suspect a potential violation of EPRI's Code of Conduct, policies, federal, state or local laws (specifics such as names and dates are helpful, though it is not necessary to have all the facts).

EPRI takes all reports seriously and will make every effort to investigate the matter based on the information provided. Appropriate action, if any, will be taken only after a full and careful investigation

EPRI's Ethics Line: 1.844.595.1679 or <https://epri.ethicspoint.com>

We Do Not Tolerate Retaliation

We want to continue building a culture that enables openness and the freedom to communicate concerns. Retaliation against individuals for making good faith reports of threatened, on-going, past or suspected violations of the law, this Code of Conduct, or EPRI policies, or for participating in an investigation of such alleged violations, is strictly prohibited. We take claims of retaliation seriously and violators are subject to disciplinary action up to and including termination of employment. We should not hesitate to report any actions to the individuals identified in the relevant policy.

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OUR CORE COMMITMENTS

Implementing Our Vision and Mission

Our vision, "Together...Shaping the Future of Energy," is not a mere tag line, but our North Star that we use to steer our course and bring together the various elements of our mission in laying out the work ahead. Our vision emphasizes our collaborative business model and points us to where we are going, to what is possible, even if it may seem challenging.

VISION

To be a world leader in advancing science and technology solutions for a clean energy future.

In pursuing our mission, it is important that we stay focused and do not lose sight of any of its elements. When we collaborate, lead and innovate, we ensure that our work continues to provide broad and enduring benefits to society.

MISSION

Advancing safe, reliable, affordable, and clean energy for society through global collaboration, science and technology innovation, and applied research.

Together...Shaping the Future of Energy™

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Living By Our Values and Principles

OUR VALUES

The core of our reputation, a non-negotiable reflection of our mission and commitment to do the right thing, based on trust that society extends to us.

Integrity

We interact and transact with honesty, transparency, fairness, and respect. Every action we take is conducted ethically and beyond reproach.

Objectivity

We conduct every aspect of our business free from favoritism, self-interest, and bias in judgement.

Public Benefit

We demonstrate corporate responsibility through our actions and decisions to benefit society.

People

We empower and foster a culture of diversity, inclusivity, and mentorship to motivate our colleagues.

Safety

Safety and security are the top priority and a commitment we make to each other.

OUR GUIDING PRINCIPLES

Behaviors and outcomes that we strive for, providing orientation in our day-to-day work and helping us when facing difficult decisions.

Collaboration

We enable people to use their individual skills and talents, bring together global stakeholders, LISTEN to diverse views, and LEAD with expertise.

Innovation

We relentlessly pursue creative thinking that advances valuable, science-based solutions.

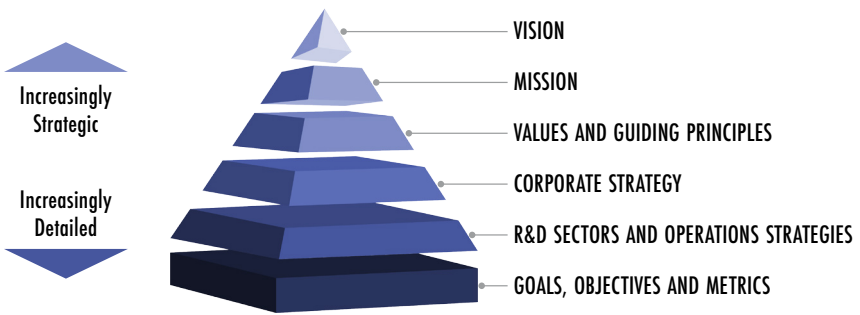
Value

We continuously strive for technical and operational excellence to provide lasting value to the energy industry and society.

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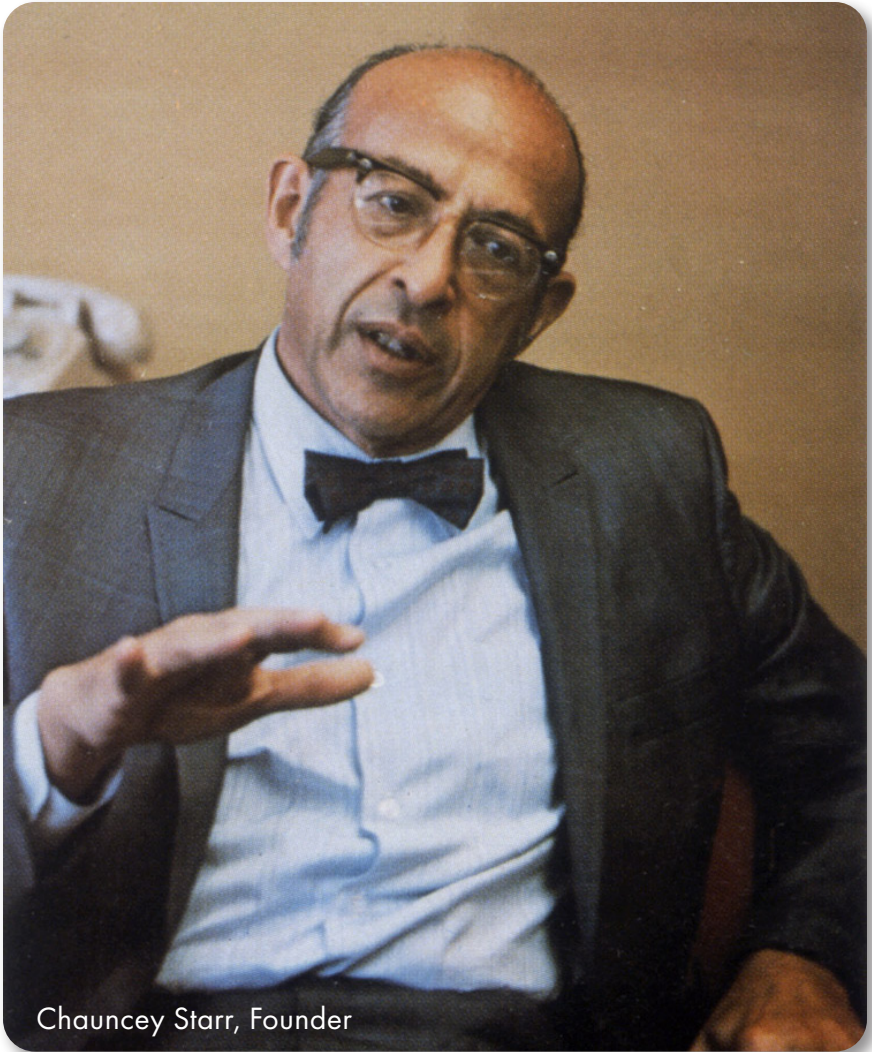
It is important that we understand and execute EPRI's strategy, all the way from EPRI's vision and mission to our group and individual performance goals, objectives and metrics.

Strategy Map



For more than 40 years, our corporate strategy, and with it R&D Sector and Operations strategies, have successfully adapted to evolving developments, requirements and priorities.

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Chauncey Starr, Founder

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Commitment to Research Integrity

Our commitment to the highest level of research integrity is absolute and unwavering. The public and our members rely on the objectivity, independence and transparency of EPRI research. A single oversight can undermine the trust of the public and our members.

Every aspect of EPRI research reflects this commitment to objective information and analysis. Research integrity is more than avoiding fabrication, falsification and plagiarism. It includes all activities that affect the actual or perceived accuracy and reliability of our research record, and the process by which it is developed.

Research integrity is second nature and at the core of our reputation. Each of us must continuously strive to maintain the trust of our members and the public through adherence to ethical research methods and transparent business processes.

Points to remember:

- EPRI does not promote the interest of any advocacy group, the utility industry or advocate for any particular technology;
- When we design a new project, we start with an open research question and do not attempt to prove a hypothesis favorable to our members;
- When in doubt or under pressure, we seek help from our colleagues and offer assistance when a colleague or contractor struggles.

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Dedication to the Public Benefit

At EPRI, we are dedicated to rigorous, objective research for the benefit of the public. This commitment enables us to build relationships of trust with the communities we serve. It also helps us maintain our scientific credibility and reputation for objectivity and independence.

EPRI is a non-profit scientific research organization. We have been granted this status and a tax exemption because of our dedication to serve the public interest. EPRI's business model reflects these operating parameters. We are not a for-profit business or a company driven by shareholder value. We think long term.

We consider the public benefit in everything we do: when we design our research projects; discuss intellectual property rights with our members and contractors; publish research results; capture unrelated business income; deal with the government; and in many other areas.



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Things to watch out for:

- Tailored collaboration—may not be used for services, but only for research following the guidelines;
- Lobbying and regulatory participation—we generally avoid advocating particular policy outcomes, but limited advocacy in the legislative or regulatory process may be allowed with prior approval;
- Political activities—we should all be active and engaged members of the community, but we cannot participate in any political activities in our capacity as EPRI employees and must not imply that we speak for EPRI or on EPRI's behalf;
- Outside boards and committees—OK in a private capacity on private time, but approval necessary when we serve on a board in the electricity industry or in our capacity as EPRI employees; and
- Government proposal and bid review panels—In order to avoid potential conflicts of interest that might bar EPRI from contracting with the government to perform research, we need prior approval before serving on any review panel.

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Risk and Resource Stewardship

We are committed to Enterprise Risk Management (“ERM”) as an integral part of all Institute activities. EPRI identifies and manages its enterprise risks in support of its mission, values and guiding principles as identified in this Code of Conduct and in our strategic and operational planning.

For each of us, prudent stewardship of risks and resources is part of our jobs. We are one team, with everyone responsible for EPRI as a whole, not just our parts. We pursue opportunities while also addressing risks and acting as stewards of EPRI’s resources. We avoid the wasteful allocation of resources to matters of minor relevance to EPRI and give priority to projects within our core research mission.

We are not risk averse when we pursue opportunities, but risk intelligent. EPRI does not seek to eliminate risk; rather, the goal is to recognize and understand existing and emerging risk areas, manage them intelligently and set reasonable risk tolerances. Open and candid identification of potential risks is strongly encouraged, because understanding will foster informed and balanced risk acceptance.



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All EPRI employees are expected to:

- Be risk stewards for the Institute, considering risk, opportunities and resource allocation in their actions and decisions;
- Help EPRI identify risk, risk gaps or areas with too many or too few controls;
- Implement risk responses pursuant to the risk appetite articulated by the accountable risk owner;
- Follow the controls put in place to address risk; and
- Be familiar with the terminology and methodology set forth in EPRI's ERM Framework for identifying, assessing and communicating risks.

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PROTECTING ASSETS AND INFORMATION

EPRI Intellectual Property

Innovation is powered by ideas. Our most valuable assets are our people and the wealth of intellectual property that we have created over the years.

A significant portion of our research consists of information that EPRI has chosen to protect as proprietary or as a trade secret and which we may license to our customers, contractors and the interested public through written agreements. A trade secret can be lost through intentional or even inadvertent disclosure. Therefore, we need to be vigilant and ensure the continued confidentiality of our proprietary information and not share the information with others, unless appropriate written agreements are put in place first.

We also rely on copyright protection of our reports and software. Copyright notices should not be removed from our research results. If third parties want to reprint an EPRI report or post EPRI content on their web page, they need a copyright release or license.



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In some cases, EPRI decides to protect new inventions through U.S. or international patents. Inventions that may warrant patent protection must be disclosed internally without delay to allow evaluation by EPRI's Patent Committee. In order to allow sufficient time for the appropriate patent applications, all internal invention disclosures must be made prior to any external disclosures to members, vendors or the public.

By promptly discussing with staff intellectual property concerns, including potential waivers of trade secret protections, copyright releases, licenses or patentable inventions we protect EPRI's intellectual property and further our public benefit mission.

EPRI proprietary/confidential information can include a wide range of items, such as:

- Inventions, ideas, processes, computer code, data, formulae, works of authorship, know-how, improvements, discoveries, developments, designs and techniques;
- Information regarding products, research plans, marketing and business plans, budgets, financial statements, contracts, prices, suppliers and customers; and
- Information regarding the skills and compensation of EPRI employees and contractors, business discussions, negotiations or agreements with a third party.

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Employee Discoveries and Prior Work

The discovery of new ideas and their creative application is at the core of our mission. It is our professional duty to share the results of our work at EPRI with our supervisors and designated coworkers. By sharing this information internally without delay, we help ensure that EPRI selects the best strategy for protecting our intellectual property.

We have all signed agreements with EPRI under which work products we make, conceive or reduce to practice using EPRI resources during our employment are considered the sole and exclusive intellectual property of EPRI, except as provided by applicable law. To protect these resources, EPRI's management reserves the right, at any time to enter into offices, workspaces or electronic systems to review, monitor and access materials.

We also disclose inventions that we conceived in previous employment, consulting or contracting positions. Without proper licenses or authorization, such prior intellectual property cannot be used for EPRI's benefit or brought onto EPRI premises.

We are proud of our inventions and value the important role of our employees in the process of patenting an invention. Employee contributions to EPRI inventions are recognized under our employee inventions and discovery program.

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Third Party Intellectual Property

In our daily work, we encounter confidential or proprietary information owned by third parties, such as our members, project participants, and vendors. We also conduct research in areas where third parties hold patents, copyrights and other intellectual property rights such as trademarks or domain names.

As ethical researchers, we respect the ownership of intellectual property by others and are committed to using such materials only under proper agreement or authorization. Intellectual property infringement can have severe reputational and economic consequences for EPRI.

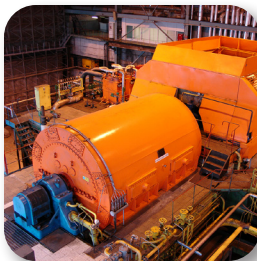
By understanding the scope and boundaries of our right to use another's intellectual property and seeking advice from the Legal Department if we are unclear, we help maintain EPRI's relationships and reputation.



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Things to remember:

- Each of us is accountable to know and comply with the contractual promises we make regarding inbound licenses and non-disclosure agreements in our areas of work;
- We pay attention to what degree we can share third party information with our coworkers, contractors, members, member contractors and regulatory authorities;
- We obtain copyright releases from third parties before using excerpts from their materials in our work;
- We give proper credit to third parties in all references and citations; and
- We refrain from downloading unlicensed third party software onto EPRI computers and devices.



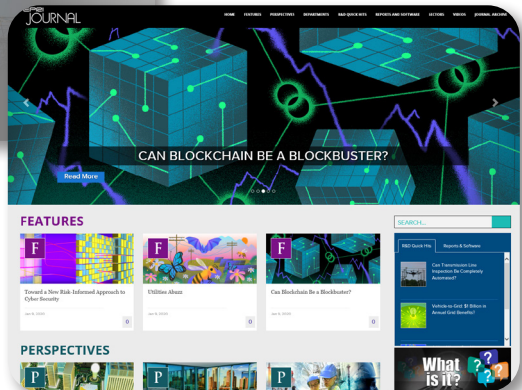
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Our Brand: Protecting EPRI's Identity

Another important asset of EPRI is our brand. EPRI's brand represents a promise to our members and the public. It reflects the trust established by our enduring commitment to the highest levels of objectivity, independence and transparency.

We must speak with a common voice and use a consistent style so that our stakeholders will recognize, at a glance, that materials bearing EPRI's brand are the results of rigorous scientific research and development.

EPRI's brand establishes our identity and ensures that our message is not diluted. It ensures that EPRI's name will continue to be synonymous with the value and trust we have established.



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We protect EPRI's brand by:

- Consistently using EPRI's corporate identity, mission and copyright statements;
- Explaining to others that EPRI does not endorse companies or technologies;
- Not deviating from our logo, tagline, address block, typography or color palette; and
- Monitoring third party use of our trademarks, logos and domain names.

Center of Excellence
Home Video Presentations Deliverables Infographics Vendors CDE Box Files Edit

+ New Page details

Welcome to the Content Center of Excellence

We're here to help.
The Content Center of Excellence is a source for inspiration, finding practical ideas, sharing success stories, and access to broader expertise and tools.

VIDEO SPOTLIGHT
Presentation Design with BrightCarbon
This webinar provides information about BrightCarbon. They can help you create dynamic, visual presentations in PowerPoint that communicate clearly and effectively.

EPRI **Leading Global Energy R&D for a Post-Pandemic Future**

Leading Global Energy R&D for a Post-Pandemic Future
For the first time since the inception of the electric grid, global energy companies are simultaneously facing a common challenge as they respond to immediate pandemic impacts and prepare for an uncertain future.

Presented with pandemic-driven uncertainty and disruptions to everyday life, the extraordinary men and women across the electric power industry have responded admirably, working around the clock to keep the lights on for customers. Charting a path forward for safe, clean, reliable, and affordable energy future for all will require a united commitment.

Overcoming Today's Energy Challenges and Preparing for Tomorrow
As the world's leading energy research and development organization, the independent, nonprofit Electric Power Research Institute (EPRI) has worked with thousands of utility staff with expertise in generation, transmission and distribution, the environment, and end-user customers to identify the need for and scope of key research areas to address near- and long-term pandemic challenges.

It's up to all energy stakeholders to rise to the challenges at hand and embrace better ways to provide the energy that improves quality of life and fuels global economies. Together we will create a better energy future for all.

—Michael Howard, Ph.D., P.E.
CEO, Electric Power Research Institute

Building more resilient and flexible grid
Respond to pandemic-related demand shifts and operational challenges while improving demand forecasting and building a more flexible, resilient electric system for the future.

Ensuring employee health and safety
Meet critical energy needs at critical times by identifying new and existing technologies and techniques to keep critical facilities staffed and employees and customers safe.

Meeting customer's changing energy needs
Adapt to diverse customer needs where and how they use electricity by devising effective strategies to safety, security, and efficiently control the grid from multiple locations.

Creating a cleaner energy future
Cultivate healthy environments with diverse special air quality improvements and meet needs of socially conscious consumers by finding better ways to integrate renewables and other low-carbon resources, achieve net-zero emissions, and drive behavior-change across the economy.

Driving Change Through User-Initiated Collaboration
Virtually every energy company on the planet is wrestling with how to best meet customers' energy needs during the pandemic and prepare for an uncertain future. This uncommon form of industry alignment presents a unique opportunity to benefit from EPRI collaboration. As increased clarity around fading impacts begins to influence long-term planning, our ability to harness industry, government, and academic knowledge will help inform strategies to prepare the industry for the future.

- Engaging with hundreds of energy companies
- Bringing together world energy experts
- Creating local opportunities through global insights

Charting a New Path for Society
Throughout the pandemic, EPRI has served as the vehicle to drive global collaboration among stakeholders, adapting existing tools and designs to operate as never before. Thousands of stakeholders worldwide have actively engaged and participated in webinars, research, and projects immediately following the pandemic's outbreak and throughout its duration, taking aggressive action and applying innovative techniques to illuminate the path forward for society.

June 2020

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Security of Facilities and Information Technology Systems

In today's increasingly connected world we must be aware of the potential security risks to both our facilities and information technology systems. To prevent any unauthorized access to EPRI's facilities and technology, we need to take active steps to help protect our work activities and environment while safeguarding our people and our assets.

Our efforts begin with the safety and security of EPRI facilities. Through awareness of security risks and by taking steps to ensure that our buildings, work areas and files are secure, we help reduce the risk of unforeseen incidents. Wearing our security badges, closing and locking exterior doors and properly storing our work in locked offices or drawers are small, but important steps in EPRI's broader security program. We are responsible for reporting any suspicious individuals or activity in or around EPRI facilities, including unauthorized individuals in restricted access areas.

We recognize the critical role of our information systems in supporting EPRI's public benefit mission. EPRI has established policies and processes controlling access to systems



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and information, passwords and encryption, data backup, mobile devices and prudent use of the internet help ensure the reliability of the EPRI computer network and the integrity of data stored within. We are responsible for following these policies and reporting security violations.

EPRI allows reasonable, personal use of the internet and phones. However, to protect the security of our computer network, and out of respect for each other and our work environment, certain behaviors are inappropriate, such as:

- Downloading software which has not been authorized by EPRI's IT Department;
- Using peer-to-peer networking or file sharing software;
- Excessive time spent browsing for personal reasons;
- Accessing pornographic sites or other sites that are inappropriate for the workplace, could be considered offensive, or create a hostile work environment under EPRI's Anti-Harassment policy;
- Participating in non-work related chat rooms; and
- Downloading of music and video files for non-business use.

Illegal activities (i.e., trafficking in pornography, dealing in stolen goods, downloading copyrighted information) are prohibited and may be referred to the police.

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Data Privacy and Protection of Personal Information

We respect the personal information of our employees and business counterparts, and are committed to the protection of data privacy as required by the law.

Data privacy and protection of personal information is an evolving area of the law, with standards that can vary from state to state and country to country. Violations of data privacy laws can have severe consequences for companies and individuals involved.

Every one of us is responsible for protecting our own personal information and that of our coworkers and business counterparts to the extent it is shared with us. We need to make sure that all personal information is securely collected, handled, transmitted, stored and destroyed by making use of physical protections and encryption technology. We should always ask ourselves whether the personal information is needed. All transmissions of personal information should be restricted to those with a "need to know."

Personally identifiable information may include:

- Names and addresses;
- Social security numbers;
- Driver's license numbers; and
- Bank account information.

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DOING BUSINESS AROUND THE WORLD

Global Market Engagement

Research knows no boundaries. The interests of the public and our members are best served by our willingness to engage with our members around the world and to incorporate their knowledge and expertise into EPRI's research.

In doing business in other countries, understanding differences in culture, language and business customs allows the creativity and diversity of our members to inform our research. While respecting these differences, we understand that our commitment to integrity, our values and compliance with the law is paramount.

When engaging with counterparts in other countries, EPRI needs to be smart and disciplined. Our relevant policies and staff help us balance opportunity, risk and resources and describes the approval process that we need to follow.

For example, in some countries, we may:

- Encounter trade embargoes and complex export licensing requirements;
- Feel uncomfortable about a climate of corruption;
- Wonder how we can protect EPRI and third party intellectual property;
- Worry about the safety of EPRI staff; or
- Be concerned about the resources that we are likely to invest in protracted negotiations or complex infrastructure requirements.

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Export Control

EPRI's business model is built on the principles of collaboration and sharing. As scientists and engineers, we are inclined to be open and trust our counterparts. At the same time, we know how important our compliance with export control laws is for national security and the interest of our country, and for EPRI as a company.

In our daily interactions, we frequently handle export controlled materials. Export is not limited to the shipment of goods, but also includes the disclosure or transfer of software or technical data to a foreign person. Transfer may occur via verbal communication, visual inspection or in practical use, whether that transfer happens inside or outside the U.S. Familiarity with these situations helps us recognize potential risks.

Compliance with export control is mandatory and the consequences for violations are significant. In addition to reputational harm, EPRI and our staff could face severe criminal and civil penalties for violating export regulations, and the potential denial of our export privileges. Therefore, EPRI has established a framework of policies, controls and training to help us recognize and address export control issues.



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For example, we cannot:

- Engage in business discussions with a researcher from an embargoed country;
- Provide our foreign national employees with unlimited access to all areas of EPRI research (unless they have a green card);
- Share the results of our research through unauthorized delivery channels;
- Allow “walk in” visitors at EPRI meetings without prior export screening; or
- Travel abroad for business without having first cleared the trip for export control.

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Bribery and Corruption

EPRI's values reflect our commitment to honesty and integrity. Whether at home or abroad, there is no place for bribery and corruption. This is an absolute "no." We do not compromise our integrity or compliance with the law by deferring to "culturally ingrained" bribery practices. We do not engage with companies or individuals that have a reputation for bribery. If we lose business by upholding our values, so be it.

Bribery of foreign government officials is strictly prohibited under the Foreign Corrupt Practices Act. Other domestic and foreign laws outlaw commercial bribery as well. We do not seek to influence others by paying or receiving bribes, kickbacks or any improper payments that may tarnish our reputation for honesty and integrity.

Let's help each other when we see red flags and not turn the other way when we see a co-worker or contractor engage in questionable behavior. All suspected violations must be reported.

Red flags may include:

- Lavish meals, entertainment and gifts;
- Offers of employment or contract work to customers or their relatives; and
- Reimbursement requests for personal travel and accommodation of customers.

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International Workforce and Resident Researchers

Our subsidiary EPRI International, Inc. is home to our non-U.S.-based Technical Advisory Services employees and contractors. We are united as part of the same EPRI family and committed to our values and this Code of Conduct. We treat each other with respect and cultural sensitivity.

EPRI is a culturally diverse organization. We treasure the creativity of our international workforce. When we engage international employees and students in the United States, we comply with the applicable immigration laws. While we may be asked for assistance in obtaining the right visa, we must avoid taking things into our own hands.

Our Resident Researcher program is of great value to EPRI and our members. It promotes knowledge exchange and mutual learning. Not everyone can be a Resident Researcher at EPRI. We must follow the internal vetting process before creating any false expectations with EPRI members or individual candidates.



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Things to remember:

- Our values do not change from country to country;
- We rely on our subject matter experts to deal with immigration matters; and
- Hosting a Resident Researcher requires teamwork and good planning.

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WORKING WITH GOVERNMENT AGENCIES

Government Bids

Collaboration with U.S. federal agencies, national laboratories and other state, local and quasi-governmental entities can provide unique opportunities to enhance the breadth and value of our research programs. As an important and growing area of our work, government funding allows us to generate more research, engage a broader, more diverse group of stakeholders and inform state and federal policy-makers.

However, with these benefits come challenges when we respond to solicitations and enter into contracts with the government. It is the government's duty to ensure prudent stewardship of taxpayers' money. In order to perform that duty, the government imposes stringent processes, conditions and controls on the recipients of government money, which are backed up by severe penalties for non-compliance.



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This means that we need to understand the overall implications before we submit a government bid, either directly or as subcontractor to a third party bidder. This assessment requires a disciplined approach, early and active involvement of our government contracts staff to be sure we can perform to the standards our government requires, and informed approvals by accountable management. We cannot afford to endanger our reputation through government interactions outside the established processes.

Factors to consider in evaluating whether to bid on domestic government business opportunities include:

- Strategic fit and EPRI's technical expertise in the relevant area;
- EPRI's ability to perform on time and within budget;
- Availability of qualified staff and contractors;
- Cost share requirements;
- Special government terms and our ability to comply;
- Resources required to establish and administer contract; and
- Likelihood of winning.

EPRI's participation in bids with foreign government entities requires special approval under the International Market Engagement Policy.

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Government Contract Compliance

After signing a contract with the government, we must follow all relevant contractual terms and conditions and pertinent regulations without exception. To help EPRI ensure compliance, our government contracting staff holds an EPRI kick-off meeting in which all internal stakeholders agree on their respective tasks and duties and specific contract requirements are reviewed.

During the performance period of a government contract, personnel and assignments at EPRI may change. It is important to ensure that all new members of the project team understand the contract requirements. When EPRI accepts government funding, submits required deliverables or requests payment, we are certifying our compliance with all material requirements and terms.



EPRI CODE OF CONDUCT

Noncompliance with government contract terms can result in civil and criminal penalties, administrative sanctions, exclusion or disqualification from future funding opportunities and awards and the imposition of corrective action or mandatory compliance plans to correct deficiencies. Our government contracting staff and system of internal controls, supported by both our internal and external auditors, helps us meet the requirements.

Compliance requirements in EPRI's government contracts often include:

- Special intellectual property provisions;
- Approval requirement for EPRI contractors;
- Flow down requirement for contractual provisions to EPRI contractors;
- Controls for the acquisition, accounting and disposition of government property;
- Cost share documentation;
- Special timekeeping requirements;
- Special rules for expense reimbursement and documentation; and
- Security standards (depending on nature of work).



EPRI CODE OF CONDUCT

Interacting with the Government

Because of our hard-earned reputation for objective, independent research, EPRI is frequently called upon to provide unbiased scientific and technical information to policymakers. In order to maintain our reputation for integrity and safeguard our tax-exempt status, we generally avoid advocating particular policy outcomes, whether through lobbying, regulatory participation or the provision of Institute opinions. However, limited advocacy in the legislative or regulatory process may be allowed with prior approval and following the steps outlined in our respective policies.

As a tax-exempt organization, EPRI cannot engage in any political campaign activity or endorsements. EPRI does not prefer one political position or party over another. Violations of this rule could endanger EPRI's tax-exempt status and our reputation for objective, independent research.

EPRI encourages its employees to be active and engaged members of the community. Civic and political activities are an important responsibility, but we must also be conscious of their potential to affect both EPRI and our coworkers. For that reason, we should refrain from promoting political views and beliefs on EPRI premises or during work functions.

When engaging in political activities or endorsements as private citizens, we must not:

- Act in our capacity as EPRI employees;
- Imply that we speak for EPRI or on EPRI's behalf; and
- Use work time or EPRI resources.

EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

Nuclear Regulatory Compliance

Many of our research projects and results in the Nuclear Sector contribute to the continued safety of domestic and international nuclear operations. We are committed to excellence in our research and dedicated to avoiding and reporting any inaccuracies or errors. We comply with U.S. regulations assuring the quality of nuclear products and services.

To meet this commitment, EPRI established a Nuclear Quality Assurance (Nuclear QA) program, which helps us identify, communicate, implement and verify our activities related to nuclear quality. Our commitment to continuous quality improvement under this program reflects our obligation to exhibit the highest levels of ethics and integrity in our work.

Another important area of nuclear regulatory compliance is the handling, storage, transportation and disposal of radioactive materials. Risks and resource implications of all projects in this area must be carefully explored by EPRI's relevant subject matter experts, before any commitments with regards to radioactive materials are made.



EPRI CODE OF CONDUCT

We must contact our Nuclear QA staff when our research touches upon nuclear safety-related structures, systems and components to assure:

- The integrity of the reactor coolant pressure boundary;
- The capability to shut down the reactor and maintain it in a safe shutdown condition;
- The capability to prevent or mitigate the consequences of accidents which could result in potential offsite exposures; and
- Identify concerns impacting these functions.

EPRI CODE OF CONDUCT

ACTING IN EPRI'S BEST INTEREST

Fraud, Wasteful Spending and Internal Controls

Our continued success depends on each of us conducting EPRI business with the utmost honesty and integrity. Instances of fraud, wasteful spending and internal controls violations undermine our relationships and damage our reputation. They can also severely impact EPRI's financial reporting obligations and endanger our non-profit status.

We each play an important role in the stewardship of EPRI's resources. The obligation to place EPRI's best interests above our own ensures that fraud and wasteful spending do not impair our ability to achieve EPRI's mission. EPRI's system of internal controls implements best practices designed to reduce the likelihood and opportunity for misconduct. Our commitment to this system means that no single person approves and implements decisions with potential financial impact, and that financial transactions are regularly reviewed and audited.

We should never turn a blind eye to fraud, wasteful spending and internal controls violations. As members of the EPRI community, it is our responsibility to raise any suspicions or concerns through the appropriate channels immediately and to fully cooperate with the efforts of our external and internal auditors.

Examples of potential red flags include:

- Misappropriations or theft of office equipment;
- Inflated travel expenses with inadmissible items;
- Inflated work time or improperly recorded absences on a timecard;
- Improper contractor selection or wasteful spending;
- Personal use of EPRI credit cards;
- Suspicious deviations from signature authority;
- Inaccurate or fraudulent financial reporting; and
- Obstruction of external and internal auditors.

EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

Conflicts of Interest

Public confidence and trust in EPRI's integrity are founded in large part on our reputation for independence and objectivity in our scientific research. We rely on each other's ability to make impartial decisions, exercise independent judgment and supply objective analysis of our technical results. If our private dealings impair our ability to do this, or if it appears they might, this may result in a conflict of interest.

In our interconnected world, we may occasionally face situations where our personal interests and relationships may be in conflict with what is best for EPRI. We need to develop our awareness of these situations, so that we can avoid even the appearance of impropriety.

It is our responsibility to report actual or apparent conflicts between our work at EPRI and our family, business, personal, or financial interests as they develop. Additionally, we are required, on an annual basis, to complete EPRI's Compliance and Conflict of Interest Certification, as part of our ongoing Ethics and Compliance training.



EPRI CODE OF CONDUCT

In most cases, potential conflicts can be easily resolved once we inform our supervisors and the Ethics and Compliance team. Early disclosure and discussion facilitates the resolution of potential conflicts before they affect our work or our reputation. EPRI may ask us to excuse ourselves from relevant decisions or add an additional approval step in the process.

Situations where a conflict of interest may arise include:

- Private dealings with organizations that EPRI currently or potentially has business or contractual relationships (i.e., pending proposals, contracts or subcontracts);
- Outside employment or consulting (“moonlighting”);
- Misuse of EPRI or third party confidential or proprietary information (including inventions, trade secrets, software and hardware);
- Ownership of financial interests in a company that may do business with EPRI (including financial interests held by members of immediate family);
- Involvement in EPRI’s pay or promotion decisions for immediate family members; or
- Acceptance of a loan from EPRI’s customers or any company with which EPRI does business.

EPRI CODE OF CONDUCT

Outside Employment or Consulting

EPRI is home to some of the world's foremost experts on issues surrounding the generation, delivery, and use of electricity. Due to our expertise in these and other areas, members of EPRI staff may be contacted from time to time by third parties to consider outside employment, consulting, freelance, teaching or writing engagements.

While EPRI values the initiative and individual reputation of our staff, it is important to ensure that any potential outside work does not interfere with EPRI's business, in particular our reputation for research integrity, our commitment to our members and the public and the full devotion of our work time to EPRI.

For those reasons, outside employment or business activities that are in competition or conflict with our work and mission at EPRI must be approved by management. Prior to approval, management will determine whether any potential conflicts with EPRI business may arise, or if the additional work may affect staff performance.



EPRI CODE OF CONDUCT

Outside work may be approved if:

- The work is conducted outside of the employee's normal work hours at EPRI;
- EPRI's computer systems, office equipment or supplies are not used;
- EPRI's confidential or proprietary information is not used (i.e., reports, member information, or mailing information);
- No other EPRI staff will be involved in the outside work;
- EPRI customers or vendors are not used for the outside work; and
- EPRI customers or vendors are not paying for the outside work.

EPRI CODE OF CONDUCT

Gifts and Entertainment

EPRI's commitment to integrity requires us to adhere to the highest ethical standards, including avoiding situations that have even the appearance of impropriety. Business gifts, entertainment and gratuities may be appropriate, but may also be perceived as attempts to influence the recipient.

In situations where EPRI employees either accept or provide business gifts, entertainment and gratuities, reasonable expenditures are generally allowed as long as they are within EPRI guidelines, make good business sense and have a reasonable business justification.

When doing business abroad, we need to remember that just because gifts, entertainment or gratuities may be culturally acceptable or expected, it does not mean they are always appropriate or legal. Our actions may affect EPRI's reputation, nonprofit tax status and could result in civil and criminal liability for both the individual, EPRI and the recipient.

Our Ethics and Compliance team is a resource to help us determine whether a specific gift, entertainment or gratuity is appropriate.

Note that government officials and employees of government-controlled companies, both in the U.S. and abroad, are subject to strict government standards. Violation of these standards can result in civil and criminal penalties for individuals, EPRI and the officials in question.

EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

Honoraria and Grants

EPRI regularly encourages its staff to speak in public forums about EPRI and our work. To avoid the appearance of bias and the potential for conflicts of interest, we cannot, as individuals, accept speaker fees, honoraria or other compensation for such appearances. However, reimbursement of reasonable travel and lodging expenses or waiver of program fees in exchange for speaking is acceptable.

From time to time, EPRI may provide honoraria to distinguished guest speakers, proposal reviewers or competition judges as a “thank you” and gesture of good will and appreciation. All such honoraria must be approved by management and are subject to special due diligence to ensure compliance with applicable laws.

EPRI will occasionally make grants to support work that is consistent with or complementary to EPRI’s R&D program. To ensure appropriate reporting and documentation, compliance with specific guidelines and management approval are required.



EPRI CODE OF CONDUCT

Honoraria accepted by employees under any of the following conditions must be turned over to EPRI's Charitable Contributions Fund:

- A speaking engagement or other service was tendered as an official representative of, or on behalf of, EPRI;
- The preparation or delivery of the service was performed during EPRI working hours; or
- EPRI funds were expended for travel, lodging, or similar expenses in connection with the service performed.

Employees may retain honoraria for services rendered outside of these conditions, provided they comply with:

- EPRI's policy on outside employment;
- Applicable tax regulations; and
- The disclosure requirement for honoraria in the annual Compliance and Conflict of Interest Certification.

EPRI CODE OF CONDUCT

Antitrust (Anti-Competition)

While we treasure a spirit of collaboration, relationship-building and trust in all of our business dealings, we never lose sight of our mission, independence and objectivity. This means that in working with our members, vendors and other groups, we keep U.S. and international antitrust laws in mind, particularly the risk posed by providing a forum for anti-competitive behavior.

Whether we are working on licensing or other transactions, attending professional societies and trade association meetings or hosting EPRI meetings and conferences, antitrust concerns can arise in many shapes or forms. Examples include the development of industry standards, product certifications, license restrictions, teaming agreements, vendor selection, tying unwanted products to purchases, price fixing, boycotting or the allocation of market territory.



EPRI CODE OF CONDUCT

We should all be aware that a single thoughtless act or comment can lead to antitrust liability, which could have severe consequences for EPRI's reputation and subject EPRI and the individuals involved to significant civil and criminal penalties.

We must avoid discussing or disclosing competitively sensitive information that is not in the public domain, such as:

- Prices, pricing methods, price cuts/discounts/increases, cost and profit margins;
- Terms and conditions of sale;
- Production or sales volume; production facilities or capabilities;
- Customer lists, market share; and
- Allocation of sales territory, distribution methods or channels.

EPRI CODE OF CONDUCT

Insider Trading

We are proud of the breadth and depth of EPRI's research in cutting edge areas. This also means that during the course of our work, we may deal with information owned by EPRI, or by third parties such as our members, project participants, and vendors that is not available to the broader public. In many cases, this non-public information could be extremely valuable to investors in making investment decisions.

The laws on insider trading prohibit us from using such "material" information for our own benefit or "tipping" others by disclosing it to our spouses, family members or closest friends.

EPRI strictly forbids insider trading—the use of material, non-public information in securities transactions. Insider trading harms EPRI's reputation for integrity and the trust of our members and the public. Additionally, insider trading may subject EPRI and individuals to civil liability and criminal prosecution.



EPRI CODE OF CONDUCT

The following types of (positive or negative) information, if non-public, are examples of what might be “material,” in which case their use and disclosure can lead to insider trading violations:

- New product announcements or research results of a significant nature;
- Significant product defects, recalls or modifications;
- Major changes in senior management;
- Significant litigation exposure due to actual or threatened lawsuits;
- Financial results, projections of future earnings or losses;
- News of pending or proposed mergers, acquisitions and disposition of subsidiaries, stock splits, new equity or debt offerings;
- Impending bankruptcy or financial liquidity problems; and
- Gains or losses of substantial customers or suppliers, significant pricing changes; changes in dividend policies.

EPRI CODE OF CONDUCT

COMMITMENT TO OUR TEAM

Teamwork, Accountability and Candor

Teamwork is of crucial importance for a collaborative research organization like EPRI. Each of us brings a wealth of qualifications, experience and unique perspectives to the table. Our commitment to teamwork enables us to draw on our collective strength, learn from each other and inspire constant improvement.

Teamwork does not exempt us from personal accountability for our job tasks. We assume accountability as individuals, not as groups or committees. We all need to understand our respective roles, help identify opportunities in our areas and act as wise stewards of EPRI's risks and resources.

We promote a culture of candor. Differences of opinion are valued and should be voiced and received in an honest and respectful manner. After a resolution is reached by the respective decision owner, we all need to support and help implement it, unless we feel that it violates ethical standards or the law.



EPRI CODE OF CONDUCT

In working as a team, we should remember the following factors:

- We should embrace the differences in each others' personality traits and preferences as assets that can help improve team performance;
- We should avoid "group think" (where the desire for harmony overrides a realistic appraisal of alternatives) and draw upon the diversity of skills, experiences and backgrounds within our team; and
- From time to time, we should invite "outsider" perspectives to challenge core assumptions and enhance team performance. New employees, colleagues from other groups and consultants can often provide such perspective.



EPRI CODE OF CONDUCT

Career and Leadership Development

Constructive feedback allows each of us to grow, and is a key building block in the continued success of the Institute. It is of particular importance in supporting career and leadership development at EPRI.

Our performance review and goal setting programs are designed to provide feedback and opportunities for growth within the company. We strive to provide work that is intellectually challenging and emotionally satisfying. Managers are always available to discuss current needs and long-term career goals and aspirations, including opportunities for continuing education.

Tips for Success:

- We meaningfully commit to performance goals that are relevant, challenging and aimed at improving performance in discussions with our managers;
- We frequently give and seek feedback in a constructive fashion and discuss our goals and performance; and
- We actively seek internal growth and training opportunities, including participation in Toastmasters, EPRI's career networks or outside seminars/classes.

EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

Equal Employment Opportunities

EPRI is proud to draw talented and diverse individuals from around the world. We are committed to providing equal employment opportunities and believe that people with different backgrounds, experiences and perspectives provide the company with vitality, creativity, new ideas and growth.

Discrimination and Harassment

EPRI has zero tolerance for workplace discrimination or harassment based upon any basis protected by applicable law, whether the behavior is by staff, customers, contractors, consultants or visitors, and regardless of the work setting. We are committed to a safe, professional and positive work environment that ensures that everyone is treated with dignity, respect and courtesy.

Discrimination and harassment in the office, at company functions or at non-EPRI locations may seriously undermine work performance and create an intimidating, hostile or offensive work environment. EPRI specifically prohibits any form of sexual harassment.



EPRI CODE OF CONDUCT

Sexual harassment can be between individuals of the opposite or same sex and may include unwelcome sexual advances, requests for sexual favors and other verbal or physical acts of sexual nature. Any employee who violates this policy or applicable laws is subject to disciplinary action, up to and including termination of employment.

Anyone who experiences or observes an incident that they believe may constitute discrimination or harassment is required to immediately report the occurrence to one or more of the following: Human Resources Business Partner; Vice President, Human Resources and Diversity; Vice President & General Counsel; Director, Compliance; or EPRI's anonymous Ethics and Compliance Helpline (1.844.595.1679) or via website: <https://epri.ethicspoint.com>).

EPRI prohibits any form of discrimination or harassment, including verbal or physical acts, jokes or slurs relating to any of the following protected classes:

- Race,
- Color,
- Religion,
- Gender (sex),
- Sexual orientation,
- Transgender status,
- Gender identity,
- Gender expression,
- Pregnancy,
- National origin,
- Ethnicity,
- Citizenship status,
- Marital status,
- Domestic partner status,
- Medical condition (as defined under California law),
- Age,
- Physical or mental disability,
- Veteran status,
- Genetic information,
- Predisposition or carrier status,
- Or any other basis protected by applicable law

EPRI CODE OF CONDUCT

Drugs and Alcohol

Drug and alcohol use can impair performance, impede judgment and create serious safety hazards, and expose each other and EPRI to unnecessary risks. EPRI is a drug-free workplace. Any unlawful or unauthorized manufacture, distribution, dispensing, possession or use of an unauthorized or controlled substance, such as alcohol or drugs, is prohibited on EPRI premises, facilities, parking lots, or other places while on EPRI business or during EPRI events. Alcohol consumption may be allowed with pre-approval at EPRI sanctioned events, but must be lawful, moderate and prudent.

Violence and Weapons

EPRI has zero tolerance for violence in and around the workplace. We must all treat one another with dignity and respect and resolve matters calmly. Violence and threats of violence, such as physically harming another, shoving, pushing, harassing, intimidating, coercing, or brandishing weapons will not be tolerated, whether they are verbal or non-verbal. Violators are subject to disciplinary action, up to and including termination of employment and may be subject to criminal prosecution.



EPRI CODE OF CONDUCT

Unless specifically restricted by law, EPRI also prohibits all individuals, including staff, contractors, consultants and members from bringing weapons onto EPRI property, including all parking lots, grounds, and facilities, regardless of whether the individual is licensed to carry the weapon and whether or not the weapon is located on the individual's person or in a vehicle. Weapons are also prohibited at EPRI-sponsored functions, such as parties, picnics or recreational events. EPRI further prohibits all staff and individuals acting on behalf of EPRI from carrying a weapon while in the course and scope of performing their job, even if the employee or individual is not on EPRI property.

In the event of violent behavior or weapons in or around the workplace where an immediate emergency exists:

- Tend to your own safety;
- If it can be done safely, notify others in the immediate area;
- Notify the Receptionist (by dialing "0" on any EPRI facility phone) and then dial 911;
- Seek shelter—if possible, close and lock door, turn off lights and computer monitor, and close blinds.

For non-emergencies:

- Notify a manager and Human Resources.

EPRI CODE OF CONDUCT

Environmental Health and Safety (EHS)

In accordance with applicable health and safety laws, EPRI is committed to preventing work-related injuries and illness. To achieve this goal, EPRI's Environmental Health and Safety Program continuously monitors and improves our safety practices and behaviors.

We must all follow established safe work practices and exercise caution when working at EPRI facilities, from home or at member or vendor sites. EPRI's EHS standards also apply to non-employees who visit EPRI facilities. Any incidents or potential safety concerns should be immediately reported, so that we can evaluate and resolve any potentially unsafe situations.

By helping to ensure a safe and healthy environment, while managing our projects and facilities in an environmentally sensitive and responsible manner, we make a personal commitment to our team and to the world around us. EPRI expects its leaders to make safety a key part of their decision-making process and demonstrate a commitment to safety at all levels of the organization.

Safety awareness is everyone's job. All work-related health and safety incidents, near misses, or potential safety concerns must be reported to management, the Environmental, Health & Safety Manager or Human Resources Department. An Incident Investigation Form must also be completed and submitted by management to EHS.

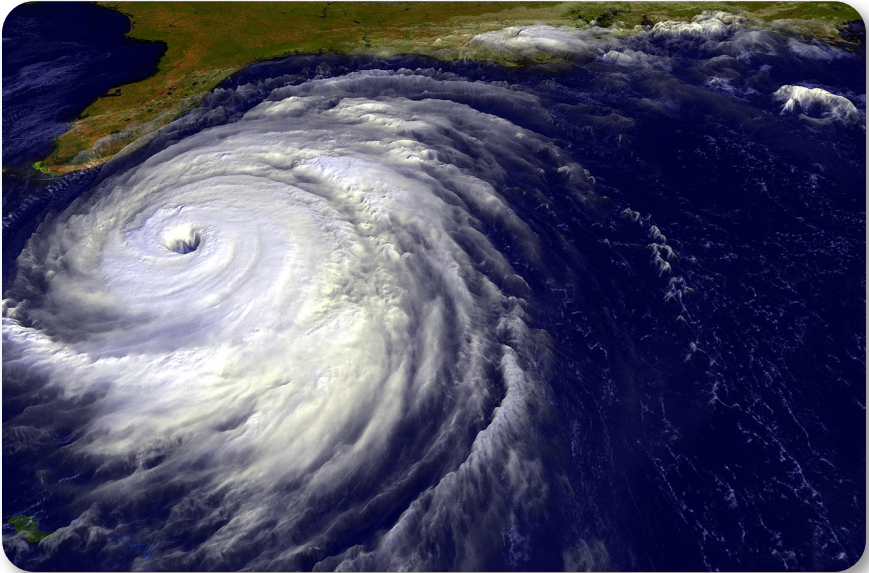
EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

Crisis Management

EPRI's Crisis Management and Emergency Action plans are designed to provide for the safety of all staff, visitors, contractors and members at EPRI sites in the event of an emergency. We conduct emergency drills and expect everyone on site to participate.



EPRI CODE OF CONDUCT

If a crisis occurs, we should follow the procedures below:

Evacuations

Evacuations of EPRI facilities may be required for fire, gas leaks, chemical spills, earthquakes, bomb threats, or loss of critical utilities. If a crisis occurs which requires evacuation we should:

- Follow the instructions of our designated “evacuation warden,” our Facilities staff or our respective manager;
- Leave the area immediately and report to building assembly location;
- Remain at the assembly area until given the “all clear” by evacuation officials.

Assembly/Lock Down

Assembly (reporting to areas of refuge) or facility lock down may be required for severe weather, acts of violence or other emergencies. If assembly or lock down is required we should:

- Follow the instructions of our designated “evacuation warden,” our Facilities staff or our respective manager;
- Remain at the assembly location or in the lock down state until given the “all clear.”

Emergency or Office Closures

EPRI has established the following emergency communication channels:

EPRI Emergency Planning Line: (877) 303-3774

EPRI Emergency Planning e-mail: EmergencyPlanning@epri.com

In case of a facility shutdown (including those related to severe weather) and/or breakdown in communication with the Institute, a message will be left on the EPRI Emergency Planning Line providing information and instructions.

EPRI CODE OF CONDUCT



EPRI CODE OF CONDUCT

A FINAL WORD

Thank you for taking the time to review EPRI's Code of Conduct. We hope you found it informative, and will continue to use the Code in the future as a guide and resource for conducting your everyday EPRI business.

The online Code of Conduct replaces all previous versions of EPRI's Code of Conduct (including the Code of Ethics and Your Guide to Conducting EPRI Business), and will have links to applicable policies and other materials. We expect all employees and individuals acting on EPRI's behalf to recognize the daily importance of following EPRI policies and procedures. If you have any questions, you are encouraged to contact any of the staff listed in the Employee Resources section.

Together...Shaping the Future of Energy™

EPRI CODE OF CONDUCT

EMPLOYEE RESOURCES

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Vice President, General Counsel, Chief
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Lead, International Compliance and
Immigration

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Ethics and Compliance Helpline

1.844.595.1679 or via the website at:

<https://epri.ethicspoint.com>

(Toll-Free, National and International)

Ethics and Compliance Center

Access

[https://electricpowerresearch.](https://electricpowerresearch.sharepoint.com/sites/EthicsCompliance)

[sharepoint.com/sites/EthicsCompliance](https://electricpowerresearch.sharepoint.com/sites/EthicsCompliance)

On-Line Training Modules

LRN Intranet Access

<http://lrnsso.epri.com/>

EPRI CODE OF CONDUCT

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Founded in 1972, EPRI is the world's preeminent independent, non-profit energy research and development organization, with offices around the world. EPRI's trusted experts collaborate with more than 450 companies in 45 countries, driving innovation to ensure the public has clean, safe, reliable, affordable, and equitable access to electricity across the globe. Together, we are shaping the future of energy.

November 2021

EPRI

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