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Working with integrity in CSIRO

– *Our Code of Conduct*

Working with integrity in CSIRO



Our purpose is to bring together the very best world-class science and creative spirit to make a profound impact on the nation's economy, environment and the wellbeing of our communities.

To do this we have committed to build trust and respect every day with our colleagues, our partners, the communities in which we work and the people of Australia. We have committed to working together ethically and with integrity in everything we do.

Achieving our purpose ultimately depends upon our integrity and our reputation.

People rely on our integrity and the integrity of our science to make important choices. They expect us to provide a safe and sustainable work environment and to prevent harm to the environment around us.

As we work in Australia and internationally, we comply with applicable laws, regulations and Australian Government policies, but we must also have consistent standards of behavior that we can expect of each other and others can expect of us.

The Code of Conduct sets out the way that CSIRO and its staff are expected to behave. We have revised, simplified and updated our existing Code of Conduct and aligned it with our Values Compass.

The Code reflects our role, our values and our commitments. It applies to the organisation as a whole, all staff members and CSIRO affiliates. As well as specific 'dos and don'ts', it contains principle-based requirements where you will need to exercise your judgement.

Please join me in making a personal commitment to working together ethically and with integrity in everything we do. CSIRO is a world-renowned research organisation. Through the consistent application of our Code of Conduct, we can ensure that it continues to be a trusted advisor, respected collaborator, and a great place for us all to work.

Megan Clark
Chief Executive

What is this document for?

This document contains CSIRO's Code of Conduct and explains the conduct and behaviour expected of the Organisation and everyone working in CSIRO.

- **Part One** describes the basis for the Code of Conduct – our role, values and commitments.
- **Part Two** is CSIRO's Code of Conduct. The Code sets out the standards for behaviour expected of CSIRO and of everyone working in CSIRO.
- **Part Three** explains how to use the Code, consequences of breaches, what to do if you suspect a breach of the Code, and where to go for more information.

The Code of Conduct complements *CSIRO the way we work* which describes CSIRO's Operating Model.

Some requirements of the Code are supported by CSIRO procedures which explain in more detail what to do. Our policies, standards and procedures are available on the CSIRO Intranet.

PART ONE

Foundations of the CSIRO Code of Conduct

CSIRO is an Australian Government authority. The CSIRO Code of Conduct reflects our legal obligations and supports CSIRO's values and policies.

CSIRO's role

CSIRO's role is defined in the *Science and Industry Research Act 1949*. Our conduct should support CSIRO's role and functions.

Our primary functions are to:

- carry out scientific research to:
 - assist Australian industry and further the interests of the Australian community
 - contribute to national and international objectives and responsibilities of the Australian Government
- encourage or facilitate the application and use of the results of CSIRO scientific research.

Our secondary functions include international scientific liaison, training of research workers, publication of research results, and dissemination of information about science and technology.

Our reporting and accountability obligations to the Government, including the duties of our Board Members and Senior Managers, are set out in the *Commonwealth Authorities and Companies Act 1997*.

CSIRO must also comply with all relevant laws, regulations, Ministerial directions and Australian Government policy.

CSIRO values

CSIRO's values are reflected throughout the Code. These values guide our decisions and interactions with our colleagues and with our external partners and stakeholders.

CSIRO values are symbolised through the CSIRO Values Compass. Our values are:

- Embracing **scientific excellence** and working together ethically and with **integrity** in everything we do
- Building **trust and respect** each day with our communities, partners and colleagues, knowing that with trust comes accountability
- Igniting our **creative spirit**, exploring new horizons and creating an environment where innovation thrives
- Consistently **delivering on our commitments**. 'Do what we say we will do'
- Striving towards a **healthy, safe and sustainable** future

We are successful when:

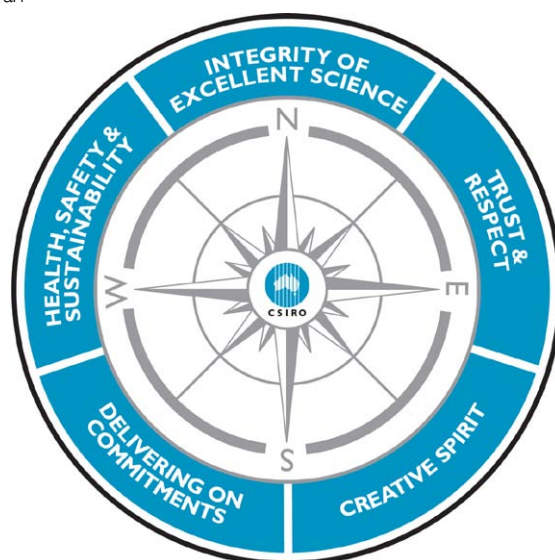
- Our science contributes to an improvement in the prosperity, quality of life and future sustainability of humanity.

- Our collaborators, partners and stakeholders realise value and outcomes from our science and describe working with us as a pleasure.
- Our people go home safely and share a sense of achievement.
- We are a place where people are healthy, flourish and want to work.
- We are a trusted research advisor.

CSIRO policies and charters

The Code of Conduct should be read in conjunction with:

- *CSIRO Policies, Standards and Procedures*
Our policy commitments cover science and delivery; people; health, safety, environmental sustainability and the community; governance; and risk.
- *CSIRO Service Charter*
Describes the standards of service we aim to deliver to our customers.
- *Public Research Agency Charter*
Provides guidance to CSIRO and its researchers when engaging in public debate.



PART TWO

CSIRO Code of Conduct

When working in CSIRO, you agree to respect CSIRO Values and to comply with CSIRO's Code of Conduct and policies, standards and procedures.

The CSIRO Code of Conduct is divided into two related parts:

- Working in CSIRO
- Working with others.

Each part starts with an overview of the standard of behaviour expected of CSIRO and is followed by the standards expected of staff members and CSIRO affiliates.

Most requirements of the Code are supported by CSIRO procedures which explain in more detail what to do. CSIRO procedures are on the CSIRO Intranet.

Who must follow the Code?

All staff members and CSIRO affiliates must comply with the Code of Conduct.

Staff members are persons appointed by CSIRO under section 32 of the *Science and Industry Research Act 1949*.

CSIRO affiliates are people associated with CSIRO namely: visiting scientists, secondees, students and trainees, contractors and consultants, and honorary, post retirement or volunteer fellows.

The members of the CSIRO Board will comply with the Code, in the context of their role as a Board member:

Working in CSIRO

What is expected of CSIRO?

Australia expects CSIRO to conduct its activities ethically and with integrity.


This expectation demands we:

- comply with all applicable laws, regulations and Australian Government policies.
- maintain high standards of scientific, professional and business practice.
- be an impartial, authoritative and respected source of independent information and advice on science for the community and government. A trusted advisor.
- conduct our affairs in a way which enhances the reputation of CSIRO and Australia.

Our conduct as an Organisation is guided by our commitment to always act in the national interest.

Specifically, we will:

- provide leadership in Australia's innovation system and be consultative in determining our priorities.
- ensure our scientific, commercial and management decisions are well informed, transparent and able to withstand public scrutiny.
- subject our science to robust peer review and be open about areas of uncertainty and gaps in our knowledge.
- manage the resources entrusted to us responsibly.
- be open about our scientific, commercial, financial and general performance, whilst recognising confidentiality requirements.
- be accountable for our actions.



Our success as an Organisation also depends on how well we work together. CSIRO is committed to creating an environment where innovation thrives and everyone is valued and treated fairly and with respect.

Accordingly, we will:

- act in accordance with CSIRO's values
- safeguard the health, safety and wellbeing of our people, partners and the communities in which we operate
- encourage cooperation, collaboration and teamwork
- acknowledge the importance of balance between work and personal responsibilities
- respect the privacy of our staff members and CSIRO affiliates
- be transparent and consultative about decisions affecting staff members and observe principles of equity
- recognise and reward the contributions and achievements of individuals and teams
- manage performance, including poor performance
- manage inappropriate behaviour and misconduct.

What is expected of you?

General conduct

When working in CSIRO, you will:

- behave in a way that upholds CSIRO's values and the integrity and good reputation of the Organisation
- act ethically
- act in good faith and in the best interests of CSIRO
- act with care and diligence
- treat everyone with respect and courtesy, recognising social and cultural differences
- treat colleagues fairly, equitably and with due consideration
- be politically impartial and neutral
- perform your duties competently and with professionalism, honesty and integrity
- familiarise yourself with, and comply with, all applicable laws and regulations and CSIRO policies, standards and procedures relating to your position and area of work
- comply with any lawful and reasonable direction given by someone in CSIRO who has authority to give such directions
- report all potential breaches of the Code of Conduct, including illegal activities.

You must not:

- make improper use of your position in CSIRO to gain, or seek to gain, benefit or advantage for you or any other person or organisation
- provide false or misleading information
- bully, victimise or discriminate against any staff member or CSIRO affiliate
- behave in a way that intimidates, offends, degrades, insults or humiliates another person.

CSIRO Code of Conduct

...Working in CSIRO



Scientific conduct

In conducting science, you will:

- maintain high standards of research ethics and conduct
- uphold the scientific reputation of the Organisation
- comply with Government regulations related to scientific research
- respect human research participants
- ensure animals used for scientific purposes are treated humanely and ethically
- use the best available science and scientific techniques
- apply best available research results from CSIRO and other sources to your science
- communicate research findings accurately and responsibly
- appropriately acknowledge the role of others in your research
- subject your research to impartial, rigorous and formal peer review
- properly manage and protect CSIRO's intellectual property and research data and materials
- respect and properly manage the intellectual property and research data and materials of others
- alert your manager where research findings might affect CSIRO's position on the subject area.

You must not engage in research misconduct including fabrication and falsification of results and plagiarism.

Communication and publication

You are encouraged to engage in the open exchange of scientific information and to participate in discussion and debate in your area of expertise.

You are also encouraged to support the role of CSIRO and its research.

Communication with the public, including the media, will be in a manner consistent with this Code of Conduct and CSIRO procedures on Public Comment by CSIRO Staff, and Publication.

In engaging in public communication and publishing, you will:

- base your comments on expert opinion arising from independent, peer reviewed research
- consult widely within the Organisation, and where diversity of scientific views exists, make reference to the range of scientific perspectives held within CSIRO
- ensure public statements made on behalf of the Organisation or using CSIRO as an affiliation are approved by CSIRO
- ensure all publications are properly peer reviewed and approved by CSIRO
- if representing a private view, state clearly that your comments represent your personal view as a private citizen, and do not represent the views of CSIRO.
- consult your manager if you are intending to publish or comment in a private capacity on a subject related to your area of professional expertise, reputation and employment with CSIRO.

You must not make statements that are harmful to the reputation of a colleague or the Organisation in a public forum, including social networking forums.

Health, safety and the environment

You will take all reasonable steps to ensure the safety of your colleagues, yourself and others and to prevent harm to the environment.

You will:

- identify, assess and take steps to control health, safety and environmental hazards associated with your work
- immediately stop any work that appears to be unsafe or hazardous to the environment
- be familiar with emergency procedures, and ensure visitors are familiar with these procedures
- report any workplace health, safety or environmental incidents so action can be taken.

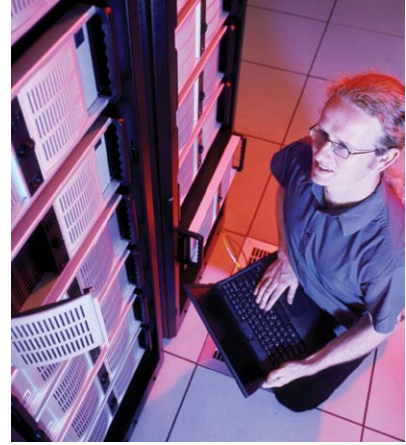
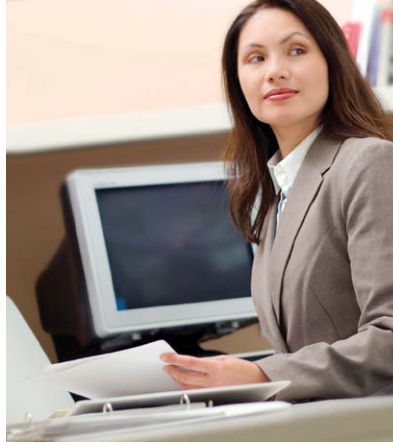
You must not:

- undertake work unless you are trained, competent, medically fit and sufficiently rested and alert to do so
- undertake work if you may be impaired by drugs or alcohol (illegal, legal or prescribed)
- walk past an unsafe or dangerous situation without taking steps to render the situation safe or notify the responsible person.

Staff responsibilities of managers

Managers have added responsibilities towards staff members and CSIRO affiliates. As a manager you will:

- lead by example
- encourage a work environment that is inclusive. Staff should be actively involved in decisions affecting their work and workplace and encouraged to participate in team planning



- encourage staff to develop skills and progress in their careers
- be accurate and fair in assessing the work of others and provide accurate, informative references, including statements to any appeals or grievance committees
- be fair when considering rewards, promotions, workforce changes or other matters that affect staff members or CSIRO affiliates
- treat seriously any concerns about behaviour and conduct and take action to address the matter
- resolve conflicts fairly and quickly and in accordance with established procedures.

Conflicts of interest

You will:

- avoid any real or apparent conflicts of interest related to your work for CSIRO, including making a declaration of such conflicts of interest
- disclose, and take reasonable steps to avoid, any real or apparent conflicts of interest in connection with your CSIRO employment
- declare any interests held by you or a member of your immediate family which conflict, or may appear to conflict, with the interests of CSIRO.

Confidentiality and privacy

You will:

- maintain confidentiality of information, including commercial information, of CSIRO and others
- observe the confidentiality and privacy of personal information held by CSIRO.

You must not use or disclose confidential information without approval from your Senior Manager.

Confidential information includes:

- information relating to CSIRO, its people or its work, including interactions with the Government, that is not publicly available
- confidential Government information and information of third parties which you have access to as a consequence of your work with CSIRO
- new knowledge or research data which has not been approved for publication.

Managing information and ownership of intellectual property

CSIRO is bound by legislation and Government policy on the creation, use, sharing, security and destruction of all records.

CSIRO owns the intellectual property rights to anything you create or develop, during the course of your employment with CSIRO.

You will:

- maintain complete, reliable and accurate records of the performance of your work related decisions and activities
- ensure the proper storage of, and access to, records, including the confidentiality and security of information.

Using and protecting CSIRO information and resources

You will:

- use the Organisation's resources (including money, property, facilities, equipment and information systems) lawfully, efficiently and for activities related to your work
- ensure your business travel arrangements are the most economical to CSIRO and at reasonable cost given the nature and purpose of the trip
- comply with CSIRO physical and information technology security requirements and take care to prevent waste, loss, damage, misuse or theft of CSIRO resources.

You must not:

- engage in fraudulent behaviour against CSIRO with the objective of obtaining money or other benefit from, or of evading a liability to, CSIRO
- make improper use of information acquired whilst working for CSIRO to gain an advantage for yourself or someone else, or to cause detriment to CSIRO or to another person.

Making commitments on behalf of CSIRO

You may only incur expenditure, sign contracts or make any other commitment on behalf of the Organisation in accordance with delegations and authorities formally assigned to you.



Working with others

What is expected of CSIRO?

Our relationships with government, industry, research partners, suppliers and the community are a key part of how we conduct our science and deliver national benefits.

We value working together with companies and other bodies to deliver common goals.

Our relationships are built on trust and mutual respect.

Accordingly, we will:

- deal fairly with suppliers, partners and clients
- act in a transparent and accountable manner
- manage our commercial affairs with care and due diligence
- be cooperative and collaborative
- foster the exchange of ideas and sharing of knowledge, whilst protecting appropriately our intellectual property
- respect confidentiality, sensitivities and the intellectual property of others
- consult widely with industry and others to understand their needs
- meet our Service Charter obligations
- deliver on our commitments
- act as a responsible part of the communities in which we operate and act to protect the environment.

What is expected of you?

Working with partners and industry

In dealings with our research and business partners, collaborators, clients, suppliers and other stakeholders, you will:

- build and maintain effective working relationships
- establish honest, fair and easily understood business and contractual arrangements based on a mutual understanding of obligations
- ensure the quality of your work is of a high standard, including proposals, reports, products and presentations
- maintain confidentiality of dealings with others and respect their intellectual property
- deliver on your commitments.

Working with Government and the Parliament

In addition to the above, when dealing with Government and Parliament, you will:

- provide frank, honest, comprehensive, accurate and timely advice
- observe established protocols regarding communication with the Minister, the Department, and other members of Parliament
- assist CSIRO to comply with legislative and other requirements to keep the Minister informed.



Working with communities

In dealings with the communities in which we work, you will:

- engage with communities affected by our operations and take their views into consideration in decision making
- respect cultural sensitivities
- respect the traditional rights and culture of indigenous people
- take action to protect the environment.

Working overseas

In working overseas, you will familiarise yourself with local behaviours, practices and customs, and be sensitive to actions or behaviours that may be acceptable in one culture but not in another.

You will behave in a way which upholds the good reputation of CSIRO and Australia.

Entertainment and hospitality

Offering entertainment and hospitality, including modest corporate gifts on behalf of CSIRO is a legitimate way to build good relationships provided they do not unduly influence business decision making or cause others to perceive an undue influence.

In providing entertainment and hospitality to guests you will ensure it is properly approved and for a clearly stated business purpose which is likely to advance the interests of CSIRO and is not just goodwill.

Bribery, inducements and facilitation payments

In dealings with others in Australia or overseas you will ensure all fees and other payments required to conduct business are legal, made in a transparent manner and properly recorded.

You must not engage in bribery or seek to corrupt others.

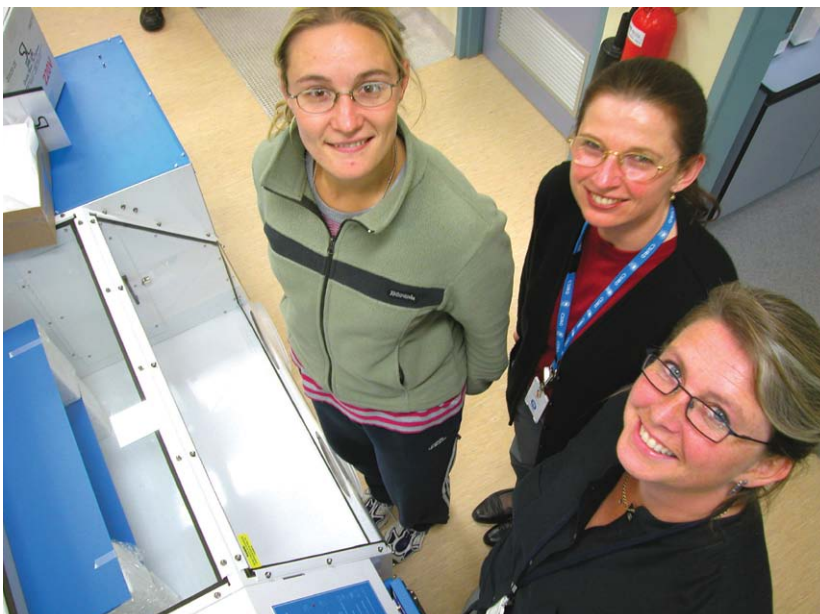
Gifts and benefits

You are not permitted to give or accept gifts or benefits of any significant value related to your employment, including sponsored travel from people or organisations external to CSIRO, without express approval of your Senior Manager.

Work outside CSIRO

You must receive prior approval from your Senior Manager before you:

- engage in paid work outside CSIRO
- engage in unpaid work outside CSIRO where there is a potential conflict of interest.



PART THREE

Using the Code of Conduct

What is expected of everyone working in CSIRO?

Everyone working in CSIRO is required to read and apply the Code of Conduct and related CSIRO policies, standards and procedures.

The Code will assist you to exercise good judgement.

Consider your actions

If you are in any doubt about what to do, ask yourself:

- Is it legal?
- Is it the right thing to do?
- Is it consistent with the Code of Conduct, CSIRO values and CSIRO policy?
- Do I have the authority to do it?
- Will it reflect well on me and on CSIRO?
- Will it withstand the scrutiny of others?
- Would I be able to explain my decision?

If the answer is "No" to any of these questions, don't do it and seek advice about the best course of action.

Ask for Guidance

If you are not certain about what to do, discuss the situation with your manager or Human Resource Manager.

Consult supporting procedures

Most aspects of the Code are supported by CSIRO procedures, which provide detailed information on what to do. CSIRO procedures are on the CSIRO Intranet.

Document decisions

Staff should make a concise written record of formal decisions, such as the approval to accept gifts and how potential conflicts of interest will be managed.

What is expected of leaders and managers?

Leaders and managers in CSIRO should promote a culture of ethical behaviour.

As a leader and manager; you will:

- ensure that the people you manage understand their responsibilities under the Code of Conduct
- create an environment where everyone feels comfortable raising concerns
- consider conduct in relation to the Code when evaluating people you manage, including through their annual performance review
- always act to prevent or stop breaches of the law or the Code by those you manage.

If you are approached with a question or concern related to ethical behaviour

or the Code of Conduct, you should give the staff member your complete attention. Ask for clarification and additional information. Answer any questions you can, but do not feel that you must give an immediate response.

If needed, seek guidance from your Human Resource Manager.

Conduct and performance

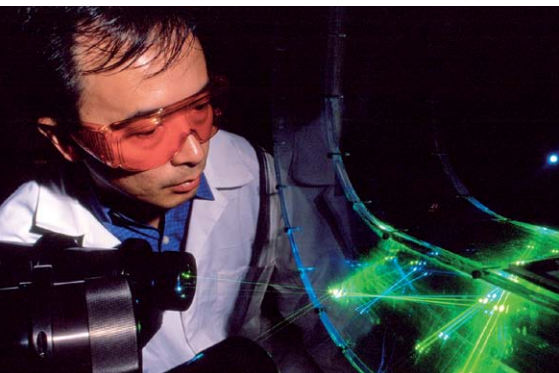
How you conduct yourself will be one of the factors considered by your manager during performance reviews or similar assessments. Exhibiting good, positive behaviours will assist you to achieve your work objectives.

Managers should encourage those behaviours and seek to identify and address poor behaviour early.

Breaches of the Code

A breach of the Code of Conduct occurs when a staff member or CSIRO affiliate does not comply with the standards of conduct described in the Code.

Where someone is found to have breached the CSIRO Code of Conduct, they will be subject to disciplinary action under the CSIRO Misconduct Policy. This action may lead to the termination of their employment.



Reporting illegal activity or a breach of the Code

Everyone is responsible for reporting illegal activity or potential breaches of the CSIRO Code of Conduct.

Matters which look suspicious should also be reported.

In most cases, report the matter to your manager or Senior Manager.

In addition, the CSIRO Whistleblower Scheme is available to staff members to report, in the public interest, serious breaches of CSIRO's Code of Conduct.

Some matters may be referred by CSIRO to an external authority, such as the police.

Confidentiality and safeguards

All reports will be managed in a confidential manner and with due regard to procedural fairness.

When making a report, you must also keep the matters reported confidential. This will protect the reputation of all those involved and will avoid compromising a possible investigation.

Staff members and others who make a report honestly and with a reasonable belief that a breach exists will not be disadvantaged or discriminated against in any way.

A person performing functions in or for CSIRO must not victimise or discriminate against a staff member or CSIRO affiliate who reports a possible breach of the Code.

Honest reporting does not mean that you have to be right when you raise a concern; you just have to believe that the information you are providing is accurate.

Knowingly making a false accusation is a breach of the Code. If you make a report that is found to be malicious, vexatious or frivolous or without reason to believe the allegations are true, the Organisation will not support you in any subsequent legal proceedings.

General concerns

More general concerns about behaviour which you feel might be inappropriate may be discussed with your manager or Human Resource Manager:

Further information

For further advice on the application of the Code, consult CSIRO policies, standards and procedures on the CSIRO Intranet, or contact:

- your Human Resource Manager; or
- the HR Service Centre on 1 300 4 CSIRO (1 300 427 476) or by selecting the services button on your CISCO IP phone.

Glossary

CSIRO affiliates are people associated with CSIRO namely: visiting scientists, secondees, students and trainees, contractors and consultants, and honorary, post retirement or volunteer fellows.

Manager is the staff member or CSIRO affiliate to whom you report and who has responsibility for:

- managing you in the organisation structure
- the conduct and resourcing of the activity in which you are engaged.

Senior manager is the staff member or CSIRO affiliate who manages the Division, Portfolio or Function in which you work. Depending on where you work your senior manager is the Chief Executive or an Executive Director, Chief of Division, Portfolio Leader including Flagship Director or the General Manager of an Enterprise Service group.

Staff related decisions will be managed by your host Division or Function.

Staff member is a person appointed by CSIRO under section 32 of the *Science and Industry Research Act 1949*.





Contact Us

Phone: 1300 363 400

+61 3 9545 2176

Email: enquiries@csiro.au

Web: www.csiro.au

Your CSIRO

Australia is founding its future on science and innovation. Its national science agency, CSIRO, is a powerhouse of ideas, technologies and skills for building prosperity, growth, health and sustainability. It serves governments, industries, business and communities across the nation.