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Prepared by:	Name:	George Borg
	Title:	Acting Facility Director
	Date:	25 March 2010
Reviewed by:	Name:	Anne Ridgway
	Title:	Head of Human Resources
	Date:	25 March 2010



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CODE OF ETHICS

ETHICS AT THE AUSTRALIAN SYNCHROTRON COMPANY

This Code aims to clarify for all employees of the Australian Synchrotron Company the conduct expected in the performance of their duties, to ensure maintenance of a harmonious working environment and public trust and confidence in the integrity and professionalism of the services provided by the Australian Synchrotron Company. It is designed to guide employees in their dealings with colleagues, the Australian Synchrotron Company itself and local, national and international governments and communities. For the purposes of this Code, employees include, secondees, contractors and visitors engaged in any Australian Synchrotron Company related activity.

The Code stands beside but does not exclude or replace the rights and obligations of employees under legislation, regulation or common law.

A number of the ethical principles and issues described below are underpinned by overarching Australian Synchrotron Company policies and supporting processes. Australian Synchrotron Company employees are expected to familiarise themselves with these. Details are available on the Australian Synchrotron Company Intranet and Knowledge Tree.

PRINCIPLES

Set out below are ethical principles that are generally accepted in the modern workplace and that are included in the Australian Synchrotron Employee Collective Agreement 2010.

Australian Synchrotron Company employees can be said to be acting ethically if they:

- maintain a high level of honesty and integrity
- conduct dealings with others using courtesy and respect
- ensure that others are accorded equity
- take personal and professional responsibility for their actions.

Each of these ethical principles is described in the expanded code on Knowledge Tree and defined through specific statements of the Australian Synchrotron Company's position. These principles are aligned with Australian Synchrotron values of Passion, Respect, Collaboration, Innovation and Continuous Improvement

MESSAGE FROM THE FACILITY DIRECTOR

Essential to Australian Synchrotron Company's corporate excellence and to the achievement of its strategic goals is the maintenance of a culture based upon agreed organisational and personal principles and values and standards of ethical behaviour.

As an employee of the Australian Synchrotron Company community, each of us has a responsibility to maintain and enhance the reputation of the Australian Synchrotron Company and ensure that the integrity of the Australian Synchrotron Company is upheld. We can do this by conducting ourselves in an ethical and honest manner.

This Code of Ethics describes the values and behaviours that we should adhere to and should act as a guide for your actions in the workplace. We are committed to embracing and advocating the substance and spirit described within the Code and I ask that you join me in this commitment.

.....
Acting Facility Director
25 March, 2010

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1.1 HONESTY AND INTEGRITY

This involves dealing with others openly and in line with the facts. It also involves complying with any applicable legislative, industrial or administrative requirements.

1.1.1 *Use of Australian Synchrotron Company's money, property and facilities*

Australian Synchrotron Company's money, property and facilities are to be used with appropriate care and for official purposes only. You need to know what your delegations are and exercise them with impartiality and care.

1.1.2 *Exerting influence, receiving gifts*

Australian Synchrotron Company positions must not be used to exert influence on anyone to enter into a financial or other arrangement or to obtain private benefits either for the employee concerned or for someone else.

Benefits other than those of nominal value can only be accepted with the written approval of the Director. It may sometimes be awkward to refuse a gift (e.g. when overseas offering and accepting a gift is normal local practice) therefore it may be appropriate to accept the gift and declare it on your return to your director. Registration processes for the receipt of gifts by employees are in place.

Each employee should be alert to any actual or potential conflicts of interest, financial or otherwise, and disclose to his or her supervisor situations where private interests may conflict or appear to conflict with official duties and take steps to avoid the conflict. The financial interests of individual employees may be required to be declared to the Australian Synchrotron Company, but only in situations of alleged conflicts of interest.

1.1.3 *Integrity in financial reporting*

Australian Synchrotron Company is committed to providing accurate, timely and clearly understandable disclosures in reports on its results to government and other stakeholders. Australian Synchrotron Company exercises the highest standard of care in preparing such reports.

All material financial information and disclosure must be accurately represented in Australian Synchrotron Company's accounts. No information may be concealed by employees from either Australian Synchrotron Company's internal or external auditors. No Board or employee may take any action to influence, coerce, manipulate or mislead Australian Synchrotron Company's external auditor in order to produce misleading financial statements.

1.1.4 *Fraud*

Fraud is not restricted to monetary and material benefits and can result in misconduct or criminal charges. Fraud is defined as dishonestly obtaining a benefit by deception or other means.

Fraud or suspected fraud should be reported in accordance with Australian Synchrotron Company's Fraud Control Policy and Plan.

1.1.5 *Plagiarism*

Research integrity is an essential component of research activity. Such activity involves researching, understanding and building upon the work of others and requires that credit to others be given where it is due and that the contributions of others be acknowledged. Australian Synchrotron Company expects a high level of professional conduct from employees and accordingly plagiarism, collusion and related forms of cheating and dishonesty and fraud are not acceptable or permitted.

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1.2 COURTESY AND RESPECT.

It is important that people are treated in all workplace interactions with respect and courtesy and without coercion or harassment of any kind. This will ensure that equity and fairness underpin all working relationships.

1.2.1 *Workplace harassment*

Australian Synchrotron Company employees should be aware of their responsibilities and what is unacceptable behaviour. The Australian Synchrotron Company has a formal policy for dealing with harassment in the workplace and provides mandatory annual harassment and bullying avoidance compliance training.

1.2.2 *Product and service liability*

All service issues should be dealt with fairly and with consideration for any customer or user who has a complaint about Australian Synchrotron Company's services. This is not only best practice, it is also the law. The fundamental concept is that services should provide the degree of safety and utility that a user in all the circumstances is reasonably entitled to expect.

1.2.3 *International regulation*

Overseas trade is subject to very extensive and widely varying rules. It is essential that Australian Synchrotron Company employees familiarise themselves with all the laws and customs of any particular country if they have responsibility for any aspect of trade with that country.

1.2.4 *Privacy of personal information*

Privacy issues are important. Australian Synchrotron Company and individual employees share responsibility for ensuring that personal information is used in such a manner that the rights and legitimate interests of others are respected. Australian Synchrotron Company has a formal privacy policy. Appropriate training or familiarisation with relevant legislation and guidelines concerning the safeguarding and privacy of personal information should be accessed and this knowledge applied.

1.2.5 *Environment*

Protection of our environment is a priority at Australian Synchrotron Company and our environmental policy represents the mechanism adopted to ensure that Australian Synchrotron Company's environmental impact is minimised. The Australian Synchrotron Environmental Strategy will provide information and guidelines for Australian Synchrotron Company employees working in areas which carry a significant risk of impact on the environment.

1.3 EQUITY AND DIVERSITY

Fellow Australian Synchrotron Company employees and all clients, stakeholders and members of the public should be treated equitably regardless of race, religion, sex, ethnic or national origin, physical characteristics, disability, age, employment status, sexual preference, political opinion or marital status. Equity and diversity representatives are nominated by the ERF for the encouragement of diversity.

1.4 PERSONAL AND PROFESSIONAL RESPONSIBILITY

Employees are expected to take personal and professional responsibility for their actions. You are also expected to access sufficient information to enable them to discharge their duties in a responsible manner.

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1.4.1 Academic freedom

Australian Synchrotron Company is committed to academic freedom and to the freedom of intellectual thought and enquiry and the open exchange of ideas and evidence. Academic freedom is protected as essential to the proper conduct of research and will seek to protect employees from any attempts to remove or reduce this freedom.

At the same time the Australian Synchrotron Company recognises that academic freedom carries with it responsibility of employees to use this freedom in a manner consistent with the responsible and honest search for the dissemination of knowledge.

1.4.2 Decision-making

Care needs to be exercised in giving information or advice which may be used as the basis for decision making, either organisationally or personally. Any decision should be based on fact, be timely, take into account consultation with others, and be fair and explainable to any affected individual. Any decision must also be able to stand the test of external scrutiny.

1.4.3 Workplace safety

There is an accepted norm in our society, a norm backed by law, whereby individuals have an obligation not to act in a way which could impinge on the safety and well-being of others. Specific occupational health and safety legislation places obligations on each individual in Australian Synchrotron Company to maintain a healthy and safe working environment and work in a way that protects their own and others' safety.

No one in the workplace should be under the influence of alcohol or drugs, including prescribed drugs that could adversely affect safe performance. Smoking is prohibited in all Australian Synchrotron Company buildings and vehicles and other designated areas. Employees should obey any lawful safety orders from persons in authority.

1.4.4 Accountability

Australian Synchrotron Company's activities must be undertaken with a high level of certainty and transparency for the community, stakeholders, employees and others who act for or interact with Australian Synchrotron Company. Australian Synchrotron Company must comply with relevant State, national legislation and international obligations, and with Australian Synchrotron Company's own contracts, agreements, policies, processes and procedures.

Australian Synchrotron Company must continue to operate so that it maintains a high level of public trust and confidence in terms of its ability to provide value to the community and industry through excellence in scientific research, operations and support activities.

Australian Synchrotron Company is responsible for making sure each person is aware of their role within Australian Synchrotron Company and has the understanding, competence, knowledge, resources and information necessary to achieve their goals. Each employee is accountable for their contribution to achieving the Australian Synchrotron Company's goals and is responsible for making sure he or she understands their role within Australian Synchrotron Company.

1.4.5 Responsiveness

All employees should be responsive to requests from users and stakeholders and provide advice or service in an objective and professional manner that is in line with Australian Synchrotron Company's business requirements and is sensitive to the intent and direction of government policy.

1.4.6 Protecting intellectual property

Confidential or commercial-in-confidence Australian Synchrotron Company information cannot be disclosed without specific authority from the relevant delegate. Australian

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Synchrotron Company employees have an absolute duty to protect information received from third parties and to be aware of any obligations arising from such entrusted information. Intellectual property generated by employees at the Australian Synchrotron Company remains the property of Australian Synchrotron Company and should be declared and protected.

1.4.7 *Protecting government confidentiality*

Australian Synchrotron Company employees who for any reason have access to sensitive or confidential government information have a special responsibility to protect the State and national interest. Sensitive or confidential information should be managed in accordance with its security classification.

1.4.8 *Public comment on academic, political and social issues*

Australian Synchrotron Company encourages individuals to build their own and Australian Synchrotron Company's professional profile through public comment on matters within their professional expertise. When making public comment, clear differentiation must be made between personal opinion and facts. Employees should ensure that their public comments made in a private capacity are not attributed as official comment of the Australian Synchrotron Company. Comment on Australian Synchrotron Company policy and operational matters can only be made by or with the approval of the Board Chair or the Director or delegate.

Public comment includes comment made as an Australian Synchrotron Company officer, or by an Australian Synchrotron Company officer using Australian Synchrotron Company equipment or resources, on research or government policy or social issues in public speaking engagements, radio or television interviews, letters to the press or politicians, books or other notices, or in other circumstances where it is likely that the comment will flow to the community at large.

However, public comment for the purpose of this Code shall not include comment or statements made on scientific matters in the context of scientific meetings or other such forum. Any proposed communication that is not covered above must be cleared in advance with the Director. Circumstances in which permission would not be given include those where there is a risk of improper advantage being taken of official information and those which may compromise Australian Synchrotron Company or bring Australian Synchrotron Company into disrepute.

1.4.9 *Participation in political activities*

Political participation by employees as part of their normal involvement in community affairs is quite acceptable. However, employees should exercise caution and be alert for any real or potential conflict of interest between their official duties and issues which are raised as part of their participation in any political activity. Any potential conflict needs to be resolved quickly through discussion with the individual's supervisor. Workplace facilities must not be used for the purposes of political campaigns, fund raising or canvassing.

1.4.10 *Outside employment while working at Australian Synchrotron Company*

In order to ensure that obvious conflicts of interest are avoided, the Director's approval is needed before employment can be accepted outside Australian Synchrotron Company. This work should not conflict or interfere with the work performed for Australian Synchrotron Company.

1.4.11 *Scientific research ethics*

Australian Synchrotron Company is committed to providing a research environment that will promote a high standard of professional conduct of its researchers, and a culture of research practice that is ethical, competent, safe and accountable. To this end the Australian Synchrotron Company uses as a guide the relevant statements and guidelines on research

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practice, revised from time to time by the Australian Research Council and the National Health and Medical Research Council.

1.4.12 *Internet and e-mail use*

The use of Internet, Intranet and e-mail resources should be undertaken in a responsible, safe and productive manner, ensuring that Australian Synchrotron Company's information infrastructure is protected. Australian Synchrotron Company has a formal document on the acceptable use of its Internet and e-mail resources.

1.4.13 *Personal relationships in the workplace*

Australian Synchrotron Company has a formal process for dealing with potential conflicts of interest that may arise in circumstances where employees may have personal relationships.

1.5 COMPLIANCE TRAINING

To ensure high standards of ethical behaviour and conduct, and that everyone is aware of their rights and responsibilities, all associated with Australian Synchrotron Company, including the Board, senior management, employees and contractors will complete ongoing compliance training on this Code.

1.6 BREACHES OF THIS CODE

Genuine mistakes are part of the learning process and provide valuable lessons for the Australian Synchrotron Company and for individuals in the continuing improvement process. They are not regarded by Australian Synchrotron Company as breaches of this Code. It is not possible, nor is it desirable to prescribe what is and what not a breach of this Code is. Rather, it is important to recognise the existence of the Code and the spirit in which it is intended to be applied. Obvious or perceived actions outside the spirit of this Code whether regarded as deliberate or otherwise, should be discussed with the individual's supervisor.

If you do not follow the standard of conduct outlined in this policy you may be subject to disciplinary action, as defined in the Managing of Underperformance Policy. In addition you will be held accountable through your performance and development planning review which will take into account compliance with the principles and practices set out in this code.

1.7 FURTHER INFORMATION

For further information on any aspect of this Code, please contact the Head of Human Resources.

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