



Code of Business Conduct for ESRI Employees

Version 3.0, January 2022

1. Introduction

The Code of Practice for the Governance of State Bodies requires that each state body should have a published written code of business conduct for employees, approved by the Council or relevant sub-committee, available on the body's website and brought to the attention of all employees.

This policy has been agreed with the House Committee.

This version replaces all previous versions of the *Code of Business Conduct – ESRI Employees*.

2. Intent and Scope

This *Code of Business Conduct – ESRI Employees* sets out the agreed principles and practice which will inform the business conduct of all employees of the ESRI. Employees are expected to voluntarily comply with this written code. Senior staff members should, where applicable, also take into account their obligations under the Ethics in Public Office Acts. Should any member of staff have any doubt in relation to any aspect of the code they should consult the Director or a member of the House Committee as appropriate.

3. Objectives

This code seeks to:

- Establish an agreed set of ethical principles which will underpin and guide the work of the ESRI;
- Promote and maintain confidence in the work of the ESRI;
- Prevent the development, or acceptance, of unethical practices.

4. Guiding Principles

All members of staff should observe the following guiding principles:

Integrity

- Commit to engage professionally, ethically and honestly;
- Avoidance of and/or disclosure of outside employment or business interests that are, or could be, in conflict with the work of the ESRI;
- Avoid giving or receiving of corporate gifts, hospitality, preferential treatment or benefits which might affect, or appear to affect, the ability of the donor or the recipient to make independent judgement; if any staff member is in doubt whether any engagement falls within this category, they should consult with the ESRI Company Secretary;

- Purchase goods and services in accordance with public procurement regulations;
- Claim expenses only as appropriate to business needs and in accordance with ESRI policy and good practice in the public sector generally;
- Ensure that the Institute's accounts/reports accurately reflect their business performance and are not misleading or designed to be misleading;
- Ensure to uphold the highest standards of research ethics, scientific rigour and integrity;
- Avoid the use of the Institute's resources or time for personal gain or for the benefit of persons/organisations unconnected with the Institute (meaning outside interests not related to the staff member's ESRI employment);
- Commit not to acquire confidential information by improper means.

Information

- Access to general information on the activities of the ESRI will be facilitated in a manner that is open and enhances its accountability to the general public;
- The confidentiality of sensitive information held by the Institute will be upheld. The classification of sensitive information and how it must be handled is set out in the relevant ESRI policy¹. This includes, but is not limited to, material such as:
 - information received in confidence by the Institute;
 - personal information subject to Data Protection legislation;
 - research data subject to statutory, legal, or confidentiality clauses (e.g. subject to the Statistics Act);
 - reports not already published;
 - commercial or Institute specific sensitive information (including, but not limited to, future plans or details of major organisational or other changes).
- Observe appropriate prior consultation procedures with third parties where, exceptionally, it is proposed to release sensitive information in the public interest;
- Comply with any relevant statutory provisions.

Obligations

- Fulfil all regulatory and statutory obligations imposed on the organisation;
- Comply with Institute Corporate policies. These are listed in Appendix 1;
- Comply with tendering and purchasing procedures, as well as prescribed levels of authority for sanctioning any relevant expenditure;
- Comply with controls to prevent fraud including adequate controls and prescribed procedures in relation to claiming of expenses for business travel;
- Recognise that the acceptance of positions following the cessation of employment with the ESRI can give rise to the potential for conflicts of interest and to confidentiality concerns. In line with their employment contract, a former member of staff shall continue to respect the confidentiality of sensitive material held by

¹ ESRI Data Classification & Retention Schedule

the ESRI in any dealings they may have following the cessation of their employment with the Institute;

- Co-operate with audit processes.

Standards

- It is the duty of all staff to conform to highest standards of business and research ethics.

Fairness

The Management and all staff will:

- Ensure that it complies with employment equality and equal status legislation;
- Be committed to fairness in all its activities;
- Value and treat equally all stakeholders of the Institute.

Work Environment and External Environment

The Management and all staff will:

- Promote and provide a work environment where all employees are treated with dignity and respect; a workplace free from all forms of bullying, sexual harassment, harassment and discrimination;
- Ensure that academic freedom and research independence are upheld;
- Engage constructively and respectfully with each other's research with a view to improving the overall quality of ESRI output;
- Promote the development of a culture of 'speaking up' whereby employees can raise concerns regarding serious wrongdoing in the workplace without fear of reprisal (see ESRI Protected Disclosures Policy);
- Place the highest priority on promoting and preserving the health and safety of employees (see all ESRI H&S Policies);
- Ensure that community concerns are fully considered;
- Minimise any detrimental impact of the operations on the environment.

Responsibility

- This *Code of Business Conduct – ESRI Employees* will be circulated to all members of staff for their retention;
- All new staff members will be provided with it and asked to acknowledge receipt and understanding;
- Management will provide explanation, practical guidance and direction on such areas as gifts and hospitality (see Discretionary Expenditure and Travel policies) and on other ethical considerations which may arise.

Breaches

- Breaches of this code will be investigated by the Institute and disciplinary action may be taken in relation to the outcome in accordance with the ESRI Disciplinary Policy and Procedure. If an individual becomes aware of any potential breach of

this code by others the individual should report it to the individual's line manager or the HR Manager.

5. Review

This *Code of Business Conduct - ESRI Employees* will be reviewed by the Management Committee every two years, or sooner if required, bringing forward any required amendments, other than minor amendments, to the House Committee.

6. Version History

Version No.	Date	Amendments	Document Owner	Approved By
Version 3.0	Jan 2022	Periodic review; references to other policies updated	Company Secretary	Management Committee
Version 2.0	July 2020	Reviewed against updated Code of Practice for State Bodies (2016); Updates to ESRI policy references; Inclusion of reference to research ethics.	Company Secretary	Management Committee; Audit & Risk Committee
Version 1.0	Mar 2009	Initial version	Assistant Director	Management Committee

Appendix 1: ESRI Corporate Policies

- Acceptance of Used Computer Equipment
- Annual Leave Policy
- Appointment of Research Affiliates
- Assets Disposal Policy
- Backup Policy
- Career Break Policy
- Child Safeguarding Statement
- Cloud Storage Policy
- Code of Business Conduct – Council
- Code of Business Conduct – Employees
- Company Safety Statement with Risk Assessment
- Computer & Network Systems Acceptable Usage Policy
- Credit Card Policy
- Customer Charter
- Education Support Policy
- Data Breach Policy
- Data Protection Policy
- Data Retention & Classification Policy
- Dignity at Work Policy
- Disciplinary Policy and Procedure
- Employment Equality Policy
- Fixed Assets Policy
- Grievance Policy and Procedure
- Information Security Remote and Mobile Working Policy
- Information Security Policy
- Maternity Leave Policy
- Mobile Device Policy
- Remote Access Policy
- Parental Leave Policy
- Password Policy
- Paternity Leave Policy
- Performance Management Policy
- Procurement Policy
- Protected Disclosures Policy
- Publications & Dissemination Policy
- Remote Access Policy
- Research Ethics Guidelines & Procedures
- Research Ethics Statement
- Risk Management Policy
- Scientific Misconduct Procedures
- Sick Leave Policy
- Social Media Policy
- Travel Policy

- User Management Policy
- Work Life Balance Initiatives
- Working Time Act Policy