

LIVING  
OUR  
**VALUES**

ESR'S

CODE

OF

CONDUCT



*We all have an important role to play in making ESR a great place to work and a responsibility for ensuring how we act reflects our values.*

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## ABOUT THIS CODE OF CONDUCT

We all have an important role to play in making ESR a great place to work and a responsibility for ensuring how we act reflects our values. As a publicly funded organisation, we also have a responsibility to maintain the highest standards of integrity, discretion and ethical conduct in order to maintain and enhance the public's trust and confidence in ESR.

Our Code of Conduct (Code) sets out standards of behaviour that we expect from each other, including legal requirements and key principles from ESR policies.

Our values are at the heart of this Code. They underpin our decisions about what we do, how we work and behave. The Code is designed to give practical guidance on how to align our actions and decisions with ESR's values, to recognise potential issues and to appropriately deal with any issues that arise.

### 🕒 Applying the Code

No code or policy can cover every situation or detail every behaviour expected of us, so we need to be guided by our values as well as our common sense and of course, the law.

If you're unsure if your actions or behaviours are consistent with the Code, ask yourself if what you're doing feels like the right thing to do. Does it align with ESR's values? Is it fair and reasonable? Would it be seen as appropriate by others and withstand their scrutiny?

Your manager or HR Business Partner can give advice if you're still uncertain or would like more guidance.

### 🕒 Playing your part

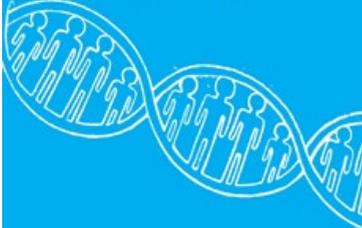
Everyone at ESR must read, understand and live by this Code.

All ESR staff, contractors, directors and students must follow the Code, encourage others to follow it, take time to understand the policies, and address any actions or behaviours that are inconsistent with the Code.

Managers can use the Code to recognise positive behaviours or address behaviours that appear inconsistent with it. It is especially important that ESR managers are exemplary models of the Code.

## OUR VALUES

**Our team spirit**  
*Mahi tahi*



**GREAT PEOPLE WORKING TOGETHER AS ONE TEAM**

WE VALUE EACH OTHER BY:

- ✔ sharing our ideas and integrating our science to achieve success for ESR and New Zealand
- ✔ recognising and celebrating our work and achievements
- ✔ appreciating the unique perspectives, knowledge and experience that give us our point of difference

**Our quality counts**  
*Mahi rangatira*



**STANDING OUT THROUGH OUR EXCELLENCE AND WORLD CLASS EXPERTISE**

WE DELIVER EXCEPTIONAL QUALITY BY:

- ✔ taking the time to plan and do the job right
- ✔ understanding our customers and meeting their needs
- ✔ investing in our people, research and technologies

**We do the right thing**  
*Mahi pono*



**UPHOLDING INTEGRITY AND INDEPENDENCE NO MATTER WHAT**

WE DO THE RIGHT THING BY:

- ✔ delivering science that is evidence-based, objective and impartial
- ✔ keeping our promises and being accountable to each other
- ✔ making decisions and choosing actions that are honest, fair and respectful

**We push boundaries**  
*Mahi auaha*



**MEETING CHALLENGES WITH FRESH THINKING AND CREATIVE APPROACHES**

WE PUSH BOUNDARIES BY:

- ✔ embracing a culture of curiosity and learning
- ✔ creating opportunities to innovate and collaborate
- ✔ critiquing and learning from what we have done

# OUR CODE

## DOING OUR BEST

Our values talk of the importance of maintaining quality and doing the right thing. These help us perform to the best of our abilities. Behaviours that exemplify doing our best include:

- coming to work in a fit state – that is we are ready and able to work, and avoiding conduct such as use of alcohol or other substances where it may, or does, impair work performance
- having a professional standard of dress that upholds the reputation and standing of ESR
- being present at work when we are meant to be and ensuring absences are authorised by a manager
- acting with honesty and integrity in all aspects of our work
- delivering on the expectations agreed between ourselves and our managers
- carrying out our duties efficiently and competently and maintaining expected standards of performance and behaviour
- carrying out our duties in a fair and just way, irrespective of our personal beliefs, values and philosophies
- being proactive and constructive when faced with a challenge by focussing on the solution, not the problem.

*For more information, refer to ESR's values, Performance Appraisal policy, Host Responsibility policy, Planning for Success (P4S) agreement, your position description and employment agreement.*

## BEING RESPECTFUL

Our team spirit and commitment to doing the right thing means that everyone has the right to be treated in a manner that affirms their value as an individual. Behaviours that exemplify being respectful include:

- treating staff, customers and all people that interact with ESR with respect, courtesy and dignity
- never initiating, participating or supporting bullying, discrimination or harassment of others and taking steps to prevent this if we see it within our workplace
- using appropriate language in all our communications
- taking all practicable steps to ensure our own safety and that our action or inaction does not cause harm to any other person
- being professional, responsive and providing exceptional service at all times.

*For more information, refer to Health and Safety policy, ESR's values and Acceptable Behaviour policy.*

## BEING RESPONSIBLE

Our commitment to doing the right thing means it is our responsibility to ensure we take proper care in all work situations by making the right decisions. Behaviours that exemplify being responsible include:

- taking responsibility for our decisions and the outcomes that result from them
- complying with all instructions, standards, policies and procedures
- ensuring we keep information we handle at ESR secure and maintaining the confidentiality of ESR information at all times
- maintaining the security and safety of staff by following site security practices
- using our organisation's resources carefully and only for intended purposes
- forwarding media, Official Information Act (OIA) and sensitive information requests to the Communications Manager or General Counsel.
- using the internet, social media and other communication channels in an appropriate manner
- advising ESR if any convictions or charges are laid against us while working here
- managing relationships appropriately so that they do not adversely affect our work for the organisation.

*For more information, refer to the Ethical Use Of Information policy, Information Management policy, Intellectual Property Management policy, Site Security policy, Media policy, Social Media policy, Privacy policy and Official Information Act Requests policy.*

## BEING TRUSTWORTHY

Doing the right thing includes being trusted to perform our duties ethically, honestly, diligently, and in the best interests of ESR. Behaviours that exemplify being trustworthy include:

- applying the same level of diligence to our decision making, whether it be related to our science, research or business practices
- declining gifts or benefits that place us under any obligation or perceived influence
- never misusing our position for personal gain
- avoiding any situation that may present a conflict of interest, and declaring any potential for conflict of interest immediately to the appropriate manager
- avoiding any comments, activities or actions, work or non-work, that could cause harm to the reputation of ESR (this includes remaining impartial in giving advice and not stating or implying personal views as that of ESR)
- avoiding fraudulent activities including forging, fabricating, falsifying or omitting important facts that could mislead others in any documents or communications.

*For more information, refer to Sensitive Expenditure and Gifts policy, Anti-Fraud and Corruption policy.*

## BEING VALUED

ESR is committed to our team spirit and creating an environment where staff are valued and are able to do what they do best every day. Behaviours that exemplify being valued include:

- having safety and security in the workplace
- having the opportunity to raise concerns without fear of victimisation or retribution
- being protected from bullying, harassment and discrimination
- being protected against claims made against them while representing ESR
- engaging in an annual performance and development discussion
- getting reimbursed for reasonable expenses incurred on behalf of ESR.

*For more information, refer to Performance Appraisal policy, Site Security policy, Health and Safety policy, Protected Disclosures policy, Acceptable Behaviour policy, Expense Reimbursement policy and Insurance policy.*

## OUR COMMITMENT TO EQUAL EMPLOYMENT OPPORTUNITIES (EEO)

ESR is committed to ensuring equality of opportunity in all forms of employment and therefore rejects discrimination on any grounds.

Employment related decisions will be based on merit and the requirements of the position will be the primary focus. Judgement about people in the workplace will be based on the ability to perform the inherent requirements of the position.

## OUR STAND AGAINST BULLYING, HARASSMENT AND DISCRIMINATION

ESR is committed to providing an environment for all staff where they are treated with respect and dignity, free from workplace bullying or violence. We will not accept any form of discrimination, harassment or bullying.

### ⦿ Discrimination

Discrimination occurs when one person or group is treated less favourably than another on the grounds of gender (including gender identity), marital status, religious belief, ethical belief, colour, race, ethnic or national origins, disability, age, political opinion, employment status, family status or sexual orientation.

### ⦿ Harassment

Harassment is a form of discrimination and can take many forms. Broadly, harassment occurs when behaviour of or by another person or group:

- is unwelcome or unwanted;
- causes offense, intimidation or humiliation to the person experiencing it;
- could be reasonably anticipated that the behaviour would cause offence, intimidation or humiliation; and
- is a persistent pattern of behaviour or single event so serious as to have a detrimental effect on the conditions of that person's employment, job performance or opportunities.

Some forms of harassment may also constitute criminal behaviour, for example, sexual or physical assault. The employee's manager and/or the HR team need to be informed immediately if you become aware that such behaviour has occurred.

## 🕒 Bullying

Workplace bullying is repeated and unreasonable behaviour directed towards a worker or a group of workers that creates a risk to health and safety.

- Repeated behaviour is persistent and can involve a range of actions over time.
- Unreasonable behaviour means actions that a reasonable person in the same circumstances would see as unreasonable. It includes victimising, humiliating, intimidating or threatening a person.

A single incident of unreasonable behaviour is not considered workplace bullying, but it could escalate and should not be ignored.

## REPORTING AND NO RETALIATION

To ensure we live up to the standards of our Code, every one of us has a duty to report a real or potential breach – whether it be to our Code, ESR's policies, or the law. You can do so by speaking with a manager or anyone in the HR team. This can even include your own conduct.

If you are not comfortable with approaching your manager or a member of management, or they may be involved in the breach, you can report it directly to the CEO and/or ESR's Board. Alternatively, you could contact a PSA delegate or EAP to discuss options before making a decision.

If you suspect serious wrongdoing, you can follow the procedures outlined in the Protected Disclosures Policy and report it via the 'Speak Up' phone line.

No one will suffer any retaliation or punishment for reporting in good faith, incidents that might be in breach of this Code. Confidentiality will be ensured for all staff at all times. There are often situations where natural justice means a complaint cannot remain anonymous. If this is the case, it will be discussed with the complainant before any information is released.

If an employee makes a malicious report or otherwise acts in bad faith, with the intention of damaging another's reputation, this may be considered a breach of this Code.

## BREACHES OF THE CODE

If your behaviour or decisions breach this Code, your employment agreement or ESR's policies, this is considered misconduct and will likely result in formal disciplinary procedures. ESR will ensure a fair process when dealing with real or potential breaches to the Code.

Where ESR believes that the Code may have been breached, an employee will receive notice of the real or potential breach and likely consequences e.g. disciplinary action. The employee will have the opportunity to explain or refute the allegation, and receive a proper and unbiased consideration of the explanation. If appropriate, a formal investigation process may be carried out. Should the allegation be established as misconduct, formal disciplinary procedures are likely to be invoked.

Formal disciplinary procedures involve the employee being given a warning that their behaviour is in breach of this Code. Warnings will be given in writing. They will be entitled to be told how their performance or conduct must improve. If, after at least two warnings (a first and a final written warning), there is a further breach of the Code, dismissal may be a course of action. Some circumstances may warrant directly moving to a final written warning or instant dismissal (see Serious Misconduct below).

### 🕒 What does misconduct and serious misconduct look like?

The lists below are examples of what is considered to be misconduct or serious misconduct. They are examples only, not an exhaustive list of breaches of the Code. Talk to your manager or HR if you have any concerns about what might be considered misconduct or serious misconduct.

#### Misconduct

Examples of misconduct which could lead to a written warning, a final warning or dismissal following due process may include but are not limited to:

- Minor instances of negligence or carelessness in the performance of duty
- Absence without proper reason or authorisation (including repeated lateness)
- Failure to meet expected performance and behaviour standards
- Unsafe conduct and/or breaches of ESR's health and safety policies
- Misuse of ESR internet and/or email systems
- Failure to comply with ESR policies or procedural requirements.



### Serious Misconduct

Examples of serious misconduct which could justify moving directly to a final written warning or instant dismissal may include:

- Theft or dishonesty of any kind
- Serious or repeated failure to follow a reasonable instruction
- Deliberate destruction of any property belonging to ESR
- Actions which seriously damage the reputation of ESR
- Behaviour that constitutes a serious risk to public health and safety, or the environment
- Bullying or harassment
- Being convicted of or pleading guilty to an offence.

## ESR POLICY MANUAL

The policies below can be found on Connect.

### Finance & Procurement

- CAPEX policy
- Contract Management policy
- Delegated Financial Authority policy
- Expense Reimbursement policy
- Procurement policy
- Purchasing Card policy
- Sensitive Expenditure and Gifts policy
- Travel policy
- Treasury Management policy

### Facilities & Health and Safety

- Health and Safety policy
- CCTV Surveillance policy
- Site Security policy
- Motor Vehicle policy

### Science & Research

- Use of Māori Genetic Information in Research policy
- Quality policy
- Genetically Modified Organisms and New Organisms policy
- Ethics policy

### Information Management

- Copyright policy
- Intellectual Property Management policy
- Information Management policy
- Recordkeeping policy
- Scientific Publishing policy

### People & Communications

- ESR Website policy
- Acceptable Behaviour policy
- Recruitment and Selection policy
- Performance Appraisal policy
- Media policy
- Social Media policy
- Protected Disclosures policy
- Host Responsibility policy

### Risk, Audit & Legal

- Management of Policy and Procedures policy
- Insurance policy
- Internal Audit policy
- Risk Management policy
- Anti-Fraud & Corruption policy
- Official Information Act Requests policy
- Privacy policy

