



## UNIVERSITY CODE OF CONDUCT

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	<a href="#">Telephone and Mobile Use Policy</a>
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	<p><a href="#">Travel and Entertainment Policy</a> <a href="#">Travel Policy Relating to Motor Vehicle Use</a> <a href="#">UOW Workplace Health and Safety website</a> <a href="#">UOW Public Interest Disclosures website</a> <a href="#">Use of University Name in Public Statements Policy</a> <a href="#">Workplace Health and Safety Policy</a></p>
<b>Relevant Legislation &amp; External Documents:</b>	<p><a href="#">Anti-Discrimination Act 1977 (NSW)</a> <a href="#">Australia's Foreign Relations (State and Territory Arrangements) Act 2020 (Cth)</a> <a href="#">Children and Young Persons (Care and Protection) Act 1998 (NSW)</a> <a href="#">Child Protection (Working with Children) Act 2012 (NSW)</a> <a href="#">Child Protection (Working with Children) Regulation 2013 (NSW)</a> <a href="#">Corporations Act 2001 (Commonwealth)</a> <a href="#">Disability Discrimination Act 1992 (Commonwealth)</a> <a href="#">Fair Work Act (Commonwealth) 2009</a> <a href="#">Foreign Influence Transparency Act Scheme 2018 (Cth)</a> <a href="#">Government Information (Public Access) Act 2009 (NSW)</a> <a href="#">Guidelines to Counter Foreign Interference in the Australian University Sector</a> <a href="#">Health Records and Information Privacy Act 2002 (NSW)</a> <a href="#">Independent Commission Against Corruption Act 1988 (NSW)</a> <a href="#">Industrial Relations Act 1996 (NSW)</a> <a href="#">Modern Slavery Act 2018 (Commonwealth)</a> <a href="#">Ombudsman Act 1974 (NSW)</a> <a href="#">Privacy and Personal Information Protection Act 1998 (NSW)</a> <a href="#">Government Sector Audit Act 1983 (NSW)</a> <a href="#">Public Interest Disclosures Act 1994 (NSW)</a> <a href="#">Public Interest Disclosures Guidelines (NSW Ombudsman's Office)</a> <a href="#">Racial Discrimination Act 1975 (Commonwealth)</a> <a href="#">Racial Hatred Act 1995 (Commonwealth)</a> <a href="#">Sex Discrimination Act 1984 (Commonwealth)</a> <a href="#">State Records Act 1998 (NSW)</a> <a href="#">Work Health and Safety Act 2011 (NSW)</a> <a href="#">Work Health and Safety Regulation 2011 (NSW)</a> <a href="#">Working with Children Checks (Office of the Children's Guardian, NSW Government website)</a> <a href="#">Workplace Gender Equality Act 2012 (Commonwealth)</a></p>
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## 1 Introduction

1. As the University of Wollongong pursues its mission to be a global leader in discovery and learning, working to transform people and the world in which we live, it will encourage:
  - a. Intellectual openness, collegiality and connectivity;
  - b. Mutual respect and the promotion of equity and social justice;
  - c. Working towards reconciliation and the success of our Aboriginal and Torres Strait Islander communities;
  - d. Recognition and celebration of initiative and enterprise, and agility in decision-making;
  - e. Staff and students who are recognised and appreciated for their contributions; and
  - f. A workforce with strong performance expectations.
2. This Code of Conduct is consistent with the University's vision, mission and principles as defined in its strategic planning documents.

## 2 Purpose of Policy

1. The University is accountable to its staff, students, the public and to government. It is in the interests of the University, its staff and affiliates and all other members of the University community to maintain the highest possible ethical standards of accuracy, honesty, cooperation, tolerance and acceptance of obligations.
2. The University recognises that its staff are its greatest asset and aims to sustain a staffing culture distinguished by professionalism, enterprise, creativity, inclusiveness and mutual respect. This Code provides a behavioural framework which conveys the obligations and standards of behaviour expected of the University and its staff and affiliates. It also provides guidance in resolving any ethical issues that may arise during the course of duties undertaken by staff and affiliates.

## 3 Guiding Principles

1. The University follows several guiding principles in pursuit of its objectives. These guiding principles include, most importantly, consideration of, and support for, the professional development of, and intellectual and cultural needs of, staff and the student body.
2. To this end, staff and affiliates have:
  - a. A duty to observe standards of equity and respect when dealing with every member of the University community
  - b. An obligation to protect the reputation of the University and behave responsibly in the stewardship of the University's reputation and resources, and
  - c. An obligation to act appropriately should a conflict of interest arise between their individual interests and their duty to the University.
3. Staff and affiliates are required to remain informed about, act within the spirit of, and comply with the University's policies and directions, as well as any regulatory requirements of their discipline or profession, and relevant legislation.



## 4 Application and Scope

1. This Code applies to all staff, agency staff, contractors, affiliates, volunteers and work experience students of the University. It covers all circumstances when staff or affiliates are performing duties for the University, such as work-related functions, travel and conferences, or any circumstances when staff or affiliates are representing the University. This Code stands beside but does not exclude or replace other legally binding obligations including those referred to in 'References and Legislation'. The University's policy documents provide the framework for this Code.
2. This Code does not apply to students except where they are also staff, agency staff, contractors, affiliates, volunteers and work experience students of the University, and only for those duties the student performs as a staff member or affiliate.
3. This Code does not apply to University Council members, whose conduct is governed by the University Council Handbook and Council Code of Conduct.
4. This Code does not apply to staff of controlled entities of the University of Wollongong as those organisations are expected to have their own Codes of Conduct.

## 5 Definitions

Word/Term	Definition (with examples if required)
Affiliates	Includes people holding University of Wollongong Honorary Awards as conferred by the University Council, including the awards of Emeritus Professor, Honorary Doctor and University Fellow; people appointed in accordance with the Appointment of Visiting and Honorary Academics Policy; and people engaged by the University as agency staff, contractors, volunteers and work experience students.
Confidential information	Information that is by its nature confidential, is marked as confidential, is known to be confidential, or which ought to have been known as confidential, including but not limited to personal and health information and information contained in student records and databases, employment contracts and records, commercial and legal agreements.
Conflict of interest	Exists where there is a divergence between the individual interests of a staff member or affiliates and their professional obligation to the University, such that an independent observer might reasonably question whether the professional actions or decisions of that staff member are influenced by their own interests or are for their own benefit.
Conjoint appointment	Appointment of a staff member made by the University in conjunction with another organisation, often underpinned by an agreement between the two organisations.



Corrupt conduct	<p>Any dishonest activity where a staff member acts contrary to the interests of the University and abuses their position of trust in order to achieve some personal gain or advantage for themselves or another person or entity, such as:</p> <ul style="list-style-type: none"><li>• the improper use of knowledge, power or position for personal gain or the advantage of others</li><li>• acting dishonestly or unfairly, or breaching public trust, or</li><li>• a member of the public influencing staff to use their position in a way that is dishonest, biased or breaches public trust.</li></ul> <p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"><li>• use of University funds or resources for personal use</li><li>• providing false or misleading information</li><li>• giving or accepting gifts or benefits contrary to the Conflict of Interest Policy</li><li>• manipulating a tender process to achieve a desired outcome, or</li><li>• providing or accepting a bribe.</li></ul> <p>The definition of corrupt conduct within the ICAC Act is intended to capture only intentional or deliberate wrongdoing. Mistakes or negligence are not normally considered corrupt conduct however, they may still attract disciplinary action within the University.</p>
Foreign Arrangement	<p>A foreign arrangement is a written agreement, contract, understanding or undertaking between an Australian State/Territory entity (including the University) and certain foreign entities (primarily foreign governments and agencies, including certain universities), whether or not there are any other parties to the arrangement and whether it is legally binding or not.</p>
Foreign Interference	<p>As described in the Guidelines to Counter Foreign Interference in the Australian University Sector, foreign interference occurs when activities are carried out by, or on behalf of a foreign actor, which are coercive, covert, deceptive or corrupting and are contrary to Australia's sovereignty, values and national interests.</p>
Fraud	<p>Deliberate and premeditated activity which involves the use of deception to gain advantage and/or obtain a financial benefit to the detriment of the University.</p> <p>Examples include, but are not limited to:</p> <ul style="list-style-type: none"><li>• acts or omissions</li><li>• theft</li><li>• making false statements</li><li>• evasion, or</li><li>• manipulation of information.</li></ul> <p>For this policy, fraud is generally recognised as a subset of corrupt conduct.</p>



Gift	<p>An item offered to or received by a staff member, or affiliate, in the context of their University role (not a formal gift to the University) or provided to an external party by a staff member, or affiliate, in the context of their University role, that has:</p> <ul style="list-style-type: none"><li>• financial value;</li><li>• physical form; or</li><li>• can be considered a favour.</li></ul> <p>The term includes but is not limited to meals, tickets, bottles of alcohol, chocolates, hospitality, ties or other items of clothing, ornaments, artwork or similar, items of historical or cultural significance, cash or vouchers which can be exchanged for goods.</p>
Health information	<p>As defined in Part 1 of the <i>Health Records and Information Privacy Act 2002</i> (NSW), information about a person's physical or mental health or disability, about their express wishes about future health services, about health services provided to a person; information collected to provide a health service; information about donation of body parts by a person; genetic or information predictive of health.</p>
Natural justice	<p>Principles that ensure decision-making is fair and reasonable. These include decision-makers informing people of the case against them or their interests, giving people a right to be heard, decision-makers not having a personal interest in the outcome, and acting only on the basis of logically probative evidence; that is, evidence that tends logically to prove the existence or non-existence of a fact.</p> <p>Principles of procedural fairness and natural justice are set out in the Grievance Policy.</p>
Personal information	<p>As defined in Part 4 of the <i>Privacy and Personal Information Protection Act 1998</i> (NSW), personal information means information or an opinion (including information or an opinion forming part of a database and whether or not recorded in a material form) about an individual whose identity is apparent or can reasonably be ascertained from the information or opinion.</p>
Policy documents	<p>University Rules, Standards, Codes, Policies, Procedures and Guidelines</p>
Protected disclosure / public interest disclosure	<p>A report of serious wrongdoing that involves corrupt conduct, maladministration, serious and substantial waste of public money or government information contravention and which satisfies, and is made in accordance with, the requirements of the Public Interest Disclosure Act.</p>
Staff	<p>All people employed by the University including conjoint appointments, whether on continuing, permanent, fixed term, casual or cadet or traineeship basis.</p>
Student	<p>A person registered for a course at the University of Wollongong.</p>
Theft	<p>The dishonest appropriation of the University's property with intent to deprive the University of it.</p>
University resources	<p>University property, both tangible and intangible, including but not limited to, goods, facilities and equipment such as mobile phones and credit cards, IT resources, personal information, health information, confidential information, records, marketing materials, vehicles, stationery and the intellectual property of the</p>



	University.
Modern slavery	<p>Slavery and slavery-like practices involving serious exploitation that include:</p> <ul style="list-style-type: none"><li>• the holding and/or exercise of any or all of the powers attached to the right of ownership over a person or a child</li><li>• servitude, forced labour, deceptive recruitment for labour or services, forced marriage, and debt bondage</li><li>• international and domestic trafficking in persons, children, and/or human organs</li><li>• harbouring a victim of trafficking in assistance of the primary perpetrator of human trafficking, and</li><li>• the worst forms of child labour.</li></ul>



## 6 Standards Required of Staff and Affiliates

### A Respectful Work Environment

1. The University is committed to fostering a respectful work environment that values people and is conducive to good work and academic outcomes and practices. All members of the University community are entitled to be treated with respect and given equal opportunities regardless of personal, social or cultural characteristics, and have the right to experience a safe work environment free from unfair treatment, discrimination, harassment, victimisation, vilification or bullying.
2. Managers and Heads of Units are required to understand and apply the principles of equal employment opportunity, and to ensure that the employees whom they supervise understand and adhere to these principles and the requirements of the Employment Equity and Workforce Diversity Policy, Respect for Diversity Policy, Disability Policy–Staff, Sexual Harassment Prevention Policy, Bullying Prevention Policy and Inclusive Language Guidelines
3. Staff and affiliates of the University are required to foster a respectful working environment by:
  - a. Being mindful of how their words and actions might be received;
  - b. Discouraging behaviour that could lead to a hostile work environment. Including but not limited to offensive, humiliating or intimidating behaviour towards others or behaviour that could otherwise make a person feel unsafe in the workplace;
  - c. Being aware of signs that others are being harassed or bullied in the workplace;
  - d. Refraining from verbal or physical conduct that discriminates based on race, color, age, sex, sexual orientation, gender identity or expression, national or ethnic origin, social origin including caste, religion or creed, disability, military, veteran, marital or citizenship status, or any other category protected by applicable law.
  - e. Reporting any instances of disrespectful behaviour whether or not being the direct target of the conduct.

### Reporting Disrespectful Conduct

4. Staff or affiliates of the University who become aware of, or believe they are the recipient of, unfair treatment, discrimination, harassment, victimisation, vilification, or bullying should refer their concerns to the appropriate person in accordance with the Grievance Policy.

### Respect at Work Training

5. All staff are required to complete Module 1 of EO Online on commencement to satisfy probation, and then every two years for the duration of employment. All supervisors are required to complete Module 1 and Module 2 of EO Online on commencement to satisfy probation, and then every two years for the duration of employment.

### Dress Code

6. The University supports staff to dress in a way that reflects their gender identity, including those who identify as transgender, gender diverse and non-binary. Uniforms should not be gender specific and, therefore, should be inclusive of all staff. It is acceptable to wear what is comfortable and authentic, whilst maintaining professionalism (i.e., dirty, or offensive/explicit items are not permitted) and complying with safety standards.



## Workplace Health and Safety

7. The University is committed to ensuring the health, safety and welfare of its staff and the health and safety of students, visitors, affiliates and contractors, and strives to foster the development of safety consciousness in all members of the University community. The University has a moral and a legal responsibility to provide a safe and healthy environment in which to study and work.
8. Staff and affiliates of the University must take reasonable care regarding the health, safety and welfare of themselves and others in the University community. Individually and collectively, staff and affiliates of the University have workplace health and safety responsibilities which include:
  - a. conducting work in a safe manner and using and maintaining machinery and equipment correctly;
  - b. following health and safety instructions and taking notice of related signage;
  - c. participating in safety training and wearing or using the safety equipment provided;
  - d. taking part in mental health training and development programs recommended by the University;
  - e. informing their supervisor or the University's Workplace Health and Safety Unit about hazards or other safety matters they become aware of; and
  - f. reporting unsafe acts, hazards or incidents which pose a risk to health and safety via the University's online reporting system which is available on the Workplace Health and Safety website.
9. Further information on workplace health and safety can be found in the Workplace Health and Safety Policy, and associated procedures, and on the University's Workplace Health and Safety website.
10. Staff and affiliates should ensure they do not attend work or perform their duties or functions while under the influence of alcohol or drugs. Being affected by alcohol or drugs at work can seriously compromise the health, safety and welfare of all members of the University community, and may also expose the University to legal liability in some circumstances. The Alcohol and Drugs in the Workplace Policy and Guidelines on the Use and Management of Alcohol at University Functions provide further guidance on acceptable behaviour



## Working with Children and Young People

11. The University is required to comply with relevant NSW legislation and related instruments including but not limited to: *Child Protection (Working with Children) Act 2012* (NSW); *Child Protection (Working with Children) Regulation 2013* (NSW); *Children and Young Persons (Care and Protection) Act 1998* (NSW);. The University's Child Protection Policy sets out the principles and key obligations and requirements related to child protection for University staff and affiliates. While University staff and affiliates working with UOW students under the age of 18 years are exempt from the definition of child-related work under the *Child Protection (Working with Children) Act 2012* (NSW), the University recognises that there may be some situations that involve child-related work, for example programs specifically developed for participation by school students and pre-school age children, or research involving children. The University therefore has an obligation to ensure that children under the care and supervision of University staff and affiliates are protected from harm.
12. All staff and affiliates must ensure that children under their care and supervision are protected from harm. Staff and affiliates must be mindful of their position of authority with respect to children and must ensure that their interactions with children are ethical and do not amount to an abuse of that position.
13. The University has a responsibility to ensure staff, affiliates and applicants for positions are suitable for child-related positions. The *Child Protection (Working with Children) Act 2012* (NSW) requires that people who work or volunteer in child-related work apply for and hold a Working with Children Check clearance.
14. The approved screening agency for the University is the Office of the Children's Guardian. An offer of employment by the University for a child-related position will be conditional upon obtaining and maintaining a Working With Children Check (WWCC). No disqualified person will be retained in, or appointed to work in child-related employment within the University, whether in a continuing, fixed term or casual mode of employment.
15. All employees and affiliates must keep the University informed of any incident or issue that may impact on their eligibility for a WWCC. In particular, the individual must inform the University if they receive a notification from the [Office of the Children's Guardian](#) that it is considering implementing a ban on them engaging in child-related work.
16. Where it alleged that an employee, or affiliate whose employment requires a WWCC, has engaged in conduct that may be reportable conduct, or they are subject of a conviction that is considered a reportable conviction, the University will notify the Office of the Children's Guardian and undertake a investigation as per the [Reportable Conduct Scheme](#).
17. Further information on this matter can be found on the University's People & Culture Division intranet page and the [Office of the Children's Guardian](#) website.

## Confidentiality of Information and Privacy

18. In the course of carrying out the University's business activities, staff and affiliates of the University will have access to personal and health information of individuals, as well as access to other confidential information. The University is committed to protecting the confidentiality and privacy of all such information at all times.
19. Staff and affiliates have an obligation to the University to maintain the confidentiality of confidential information of the University that comes into their possession.
20. Staff and affiliates are also required to comply with the Privacy Policy, Privacy Management Plan and relevant privacy legislation. when collecting, using, storing, securing and disclosing personal



and health information.

Further information about the University's privacy obligations can be found in the Privacy Policy and Privacy Management Plan.

### **Modern Slavery**

21. The University is committed to combatting modern slavery practices in its supply chains and its business operations, and promoting practices to identify and limit the risk of such practices when working within its local and international communities. Staff are expected to uphold anti-slavery principles across the operations and supply chains of the University's entire group.
22. Further information on this matter can be found in the University's Modern Slavery Statement and in other relevant University policies and procedures.
23. Staff who have identified areas of concern in relation to our commitment to combatting modern slavery practices are encouraged to report these practices via email to [modern-slavery@uow.edu.au](mailto:modern-slavery@uow.edu.au).

## **7 University Resources and Reputation**

1. The University recognises the need to protect its reputation by maintaining ethical standards, fairness and integrity in all its dealings, avoiding any activity or interest that might reflect unfavourably upon the integrity and reputation of the University.
2. Staff and affiliates should ensure that they present and conduct themselves professionally as appropriate to their role and work context within the University.

### **Academic Freedom**

3. The University's commitment to academic freedom is defined in the [Academic Staff Enterprise agreement](#).
4. Staff and affiliates are expected to exercise their academic freedom in accordance with this Code.

### **Public Comment**

5. The University recognises the traditional role of staff and affiliates in making informed comment on societal values, behaviours, customs and practices, in challenging beliefs, practices, policies and structures, and in participating in public debate on issues of professional and public concern. Members of the University community are encouraged to participate in public debate on issues of professional and public concern.
6. Views which are attributed to the University as a corporate body may be expressed to the public only in accordance with the Use of University Name in by Third Parties and in Public Statements Policy, Delegations of Authority Policy and Social Networking Use Guidelines. When making public comments that are not made as an official representative of the University pursuant to the above policies, staff and affiliates of the University must make it clear that they are expressing individually held opinions that are not necessarily those of the University.

### **Intellectual Property**

7. Staff and affiliates are required to deal with the intellectual property of the University in accordance with the IP Intellectual Property Policy and accompanying IP policy framework.

### **Travel**

8. When conducting business on behalf of the University, staff and affiliates are often required to travel within Australia or overseas, to attend conferences or meetings or to conduct research. At all times



during such travel, staff and affiliates are considered ambassadors of the University and are responsible for representing the University community in a positive way.

9. Further information about travelling on behalf of the University can be found in the Travel and Entertainment Policy and Travel Policy relating to Motor Vehicle Use, and staff and affiliates must comply with these policies when organising and conducting such travel.

### **University Resources**

10. Staff and affiliates are responsible for the effective and economical use of University resources and have a duty to care for and safeguard University resources within their possession or control. Limited personal use of University facilities and equipment, which staff or affiliates may use in their daily duties, may be permitted, provided that the use is not excessive, complies with University policies or procedures, does not interfere with the performance of University duties or functions, is not for any commercial activity or pecuniary gain, and in all circumstances is reasonable.
11. When using University facilities and equipment, staff and affiliates must comply with relevant University policy documents and employment agreements. These include but are not limited to the IT Acceptable Use Policy, Mobile Phone Policy, Email Access Policy, and Internet Access Policy
12. University staff must complete Cyber Security Awareness Training on a regular basis as specified by the University, in accordance with the IT Acceptable Use Policy

### **Financial Transactions and Purchasing**

13. During the course of their duties, many staff and affiliates may be involved in financial transactions with or on behalf of the University. Staff involved with such transactions are required to undertake these transactions in accordance the Corporate Credit Card Policy, Purchasing and Procurement Policy, and the Delegations of Authority Policy.
14. Staff members and affiliates involved in financial transactions with the University are strongly encouraged to make themselves aware of the content of the relevant policy, so that they may avoid taking actions that may inadvertently expose themselves to allegations of mishandling, misappropriation or acting without delegation.

### **Records Management**

15. To ensure business continuity and to meet UOW's compliance obligations under the *State Records Act 1998* (NSW), it is essential that information and records are appropriately managed.
16. Staff and affiliates are to manage UOW's information and records in accordance with the Records Management Policy and any other associated procedures and guidelines.

### **Prevention and management of wrongdoing**

17. Prevention and management of fraud, corruption, maladministration and other forms of wrongdoing is extremely important at UOW. The University is committed to ensuring that its business and operations are conducted according to the highest ethical standards. The University will not tolerate any form of wrongdoing.
18. The privacy and care of those who report wrongdoing, and those who are the subject of a report, is also important. UOW will take all reasonable steps to protect anyone who makes a report or is the subject of a report.
19. Staff and affiliates must report any suspicion of wrongdoing that is held on reasonable grounds, such as theft, fraud, corrupt conduct, maladministration, Government information contravention, serious or substantial waste of University resources, and/or failure to comply with legal requirements, on



the part of any member of the University community.

20. To afford appropriate privacy and protections, staff and affiliates are advised to report wrongdoing through the University's independent, external whistleblower hotline.
21. Reports that are, or may be, Public Interest Disclosures should be made to the independent whistleblower hotline or to a Nominated Disclosure Officer as detailed in the Serious Wrongdoing Reporting Procedure.
22. If a supervisor or any other employee or affiliate receives a disclosure that they believe might be a Public Interest Disclosure, they must refer the person making the disclosure to UOW's independent whistleblowing service or to a Nominated Disclosure Officer.
23. Refer to the Fraud & Corruption Internal Reporting Procedure for more information, or search for 'wrongdoing at UOW'.

## 8 Conflicts of Interest

1. In all personal and business interactions, staff and affiliates are to observe high standards of ethical behaviour and avoid any activity or interest that might reflect unfavourably upon the University. Staff and affiliates are obliged to adhere to the principles set out in the Conflict of Interest Policy and Close Personal Relationships Guidelines to ensure that their activities and interests do not conflict with their obligations to, or the welfare of, the University.

### Secondary Employment

2. In valuing the expertise of its people, the University recognises that staff may engage in paid or unpaid outside employment or private practice. Outside employment should not create a conflict of interests with their duties to the University and must be approved in accordance with the Secondary Employment Policy or Commercial Research Policy. Such approval must be received prior to commencement of the secondary employment or commercial research.

### Gifts or Benefits

3. The receipt of gifts or the giving of gifts or benefits has the potential to impact on the reputation and image of the University and the potential to breach ethical and legal standards. Receiving or giving of gifts or benefits that could appear to influence any aspect of a staff member or affiliate's professional duties may be perceived by others as an inducement. Neither staff nor affiliates may give or receive gifts or favours that could create a conflict of interest or a perceived conflict of interest, compromise their judgement, damage relationships with others or indicate any favouritism or prejudice towards a person or group of people.
4. Staff and affiliates must not solicit gifts or benefits and under no circumstances may staff or affiliates accept money or lottery tickets, except where permitted under the Philanthropic Fundraising, Gift Acceptance and Recognition Policy.
5. Staff and affiliates must not accept or confer gifts or benefits unless they comply with the UOW Conflict of Interest Policy.
6. For information on the acceptance of gifts to the University, refer to the Philanthropic Fundraising, Gift Acceptance and Recognition Policy. The Philanthropic Fundraising, Gift Acceptance and Recognition Policy applies to all bequests and all other gifts to the University covered by the definition of gift. It does not include personal gifts offered to individual staff or affiliates of the University, for example, by companies, international dignitaries or collaborators. The University's policy on the acceptance of such gifts by staff or affiliates is contained in other University policies such as the Conflict of Interest Policy.



7. Staff and affiliates are also required to comply with appropriate State and Federal legislation regarding the giving and receiving of gifts or favours.
8. When in doubt, staff and affiliates should seek advice, as set out in the Conflict of Interest Policy.

## 9 Foreign Engagement

1. The Australian government has implemented a range of measures, including legislation, relevant to engagement by staff, affiliates and the University with foreign governments, and related organisations and persons. The University is committed to meeting its compliance obligations under the *Australia's Foreign Relations (State and Territory Arrangements) Act 2020* and the *Foreign Influence Transparency Scheme Act 2018*, and to taking appropriate steps to manage the risk of Foreign Interference, consistent with the Guidelines to Counter Foreign Interference in the Australian University Sector.
2. Staff are responsible for complying with any policies, procedures and directives designed to ensure the University complies with its notification obligations in relation to Foreign Arrangements under the *Australia's Foreign Relations (State and Territory Arrangements) Act 2020*. This legislation requires Foreign Arrangements to be notified to the Minister for Foreign Affairs, both at the negotiation stage and when finalised.
3. The *Foreign Influence Transparency Scheme Act 2018* requires certain activities to be registered when they involve a person or organisation agreeing to act on behalf of a foreign government, political party or related entity/person for the purpose of influencing Australian political or government outcomes. This obligation applies not only to the University, but also to staff and affiliates (i.e. agreements not made on behalf of the University). Staff must notify their Executive Dean, Director or other senior manager (as applicable) in the event they personally register an activity on the public register ('Transparency Register'), and are responsible for complying with any policies, procedures and directives designed to ensure the University complies with its registration obligations.
4. Staff must take appropriate steps to guard against the risk of Foreign Interference impacting the University, including by complying with the Risk Management Policy, the Conflicts of Interest Policy and any other related guidelines, procedures or directives.

## 10 Guidance on Ethical Issues

1. The University acknowledges that it cannot formulate policies to address all issues which may be faced by staff and affiliates. The development of an ethical environment relies on each person taking responsibility for his or her own behaviour after considering State and Federal law, the University's stated values, the provisions of the University's policy documents and any other professional codes applicable to that person.
2. Staff and affiliates should ensure their activities and interests do not create a conflict of interest with their obligations to, or the welfare of, the University, and should avoid ethical, legal, financial or other conflicts of interest. When making decisions related to the University, staff and affiliates are required to consider:
  - a. Whether or not the decision complies with the University's legal obligations;
  - b. Whether or not any conflicts of interest arise from the decision; and
  - c. The possible impact of the decision on others and on the reputation of the University.
3. Staff and affiliates may occasionally be confronted with ethical dilemmas in which there is a perceived conflict of interest or duty or loyalty to the University but which may have no single



correct or straightforward answer. Advice on ethical issues may be obtained from a range of sources within the University depending on the context, including:

- a. Executive Deans of Faculties and Directors of Business Units
  - b. Chief Integrity Officer
  - c. Complaints Management Centre
  - d. Chief People & Culture Officer
  - e. Office of General Counsel
  - f. Manager, Business Assurance
  - g. Employment Relations Manager
  - h. Deans of Research Development and Integrity
  - i. People & Culture Business Partners, and
  - j. Senior members of staff.
4. Advice on ethical issues may also be obtained from sources outside the University, for example:
- a. The National Health and Medical Research Council
  - b. Professional associations
  - c. The St James Ethics Centre.

## 11 Compliance with Code

1. All staff and affiliates are required to comply with this Code.
2. The University treats all complaints seriously and makes every effort to expeditiously investigate complaints in accordance with the University's policy documents. Any alleged breaches of this Code will be dealt with in accordance with the applicable University policy document, enterprise agreement, industrial instrument or contract. The principles of procedural fairness will be adhered to when investigating such a complaint.
3. Where there is no relevant process for dealing with an alleged breach of this Code, the University will take steps to ensure the matter is properly considered and, if proven, that appropriate action is taken. The University acknowledges that multiple pathways exist for dealing with complaints. It is useful, prior to making a complaint, to consult with appropriate persons to identify the best way to proceed. These could include the Complaints Management Centre, the People & Culture Division or the Student Ombudsman (if a student matter). Staff and affiliates should make every effort to direct complaints in accordance with the Grievance Policy.
4. If an allegation is found to be proven:
  - a. Staff may be subject to disciplinary action which may include termination of their employment with the University.
  - b. Affiliates may have action taken against them which may include termination or non-renewal of their contract or appointment with the University.

## 12 Limit on Confidentiality

1. Any confidentiality regarding conduct arising under this Code of Conduct is limited by the University's obligations under law to disclose certain conduct to relevant authorities. For example, the University has an obligation to disclose corrupt conduct to ICAC, and to disclose serious



indictable offences to NSW Police.

### **13 Roles & Responsibilities**

2. It is the responsibility of staff and affiliates to be aware of and conduct themselves in accordance with this Code and related policy documents.
3. It is the responsibility of supervisors, managers, Executive Deans, Directors and Heads of Units to:
  - a. Ensure that new staff and affiliates are introduced to the provisions of this Code and related policy documents;
  - b. Ensure that staff under their supervision fulfil the requirements of their induction by being aware of the University's policy documents;
  - c. Ensure that staff are aware of, and periodically renew their awareness of, this Code;
  - d. Model good behaviour consistent with this Code and related policy documents; and
  - e. Appropriately respond to reports of contravention of this Code.
4. It is the responsibility of the University to:
  - a. Ensure this Code is accessible and communicated to all staff and affiliates; and
  - b. Ensure this Code is implemented and applied consistently throughout the University community.



## 14 Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	2 June 2000	University Council	New Policy
2	6 May 2009	Vice-Principal (Administration)	Migrated to UOW Policy Template as per Policy Directory Refresh
3	9 March 2010	Vice-Principal (Administration)	New review date identified in accordance with Standard on UOW Policy
4	12 July 2011	University Council	Review of Code in line with review date, resulting in substantial revisions.
5	30 November 2012	Vice-Principal (Administration)	Change from OHS to WHS
6	11 September 2013	Chief Administrative Officer	Change from VP(A) to CAO
7	5 February 2014	Chief Administrative Officer	Updated legislative references
8	13 February 2014	Deputy Vice-Chancellor (Education)	Updated to reflect changes from Dean of Students to Student Ombudsman.
9	5 July 2016	Vice-Chancellor	Consequential amendment following minor amendment to Coursework Student Academic Complaints Policy – removal of reference to Student Ombudsman at clause 9.3. Transfer to rebranded template.
10	9 December 2016	University Council	Consequential amendments to section 6. Standards Required of Staff and Affiliates – Working with Children and Young People following approval of the Child Protection Policy.
11	28 July 2017	Vice-Chancellor	Insertion of reference to the Philanthropic Fundraising, Gift Acceptance and Recognition Policy.  The requirement for EO Online to be completed every two years by all staff members.  Removal of reference to the now superseded Employment Equity and Diversity Unit.  Insertion of reference to the Complaints



			<p>Management Centre.</p> <p>Updates to position title.</p> <p>Insertion of 'professional presentation' to cover appropriate work clothing, grooming and related items.</p> <p>Extension of definition of "affiliates" to include contractors, volunteers and work experience students</p> <p>Extension of definition of "staff" to include categories of employment and cadets and trainees</p> <p>Addition of definition of "students"</p>
12	21 December 2021	Vice-Chancellor	<p>Amendment to include references to the Australia's Foreign Relations (State and Territory Arrangements) Act 2020 and the Guidelines to Counter Foreign Interference in the Australian University Sector.</p>
13	25 May 2023	Vice- Chancellor	<p>Insertion of modern slavery requirements.</p> <p>Insertion of a respectful workplace behaviour list.</p> <p>Insertion of dress code guidelines.</p> <p>Inclusion of reference to the University's independent, external whistle-blower hotline.</p> <p>Inclusion of more in-depth definitions of Personal Interest Disclosures.</p>



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