

Code of Conduct



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Acknowledgement of Country

We acknowledge the First Nations people as the traditional custodians of the land we are on today and recognise their continuing connection to land, waters and community.

We pay deep respect to them and their cultures; and to Elders past, present and emerging.

Message from the Shared Leadership Committee

The purpose of the Code of Conduct is to guide the conduct of members of the TRI Community in performing their duties at the Translational Research Institute ("Institute"). This Code of Conduct defines acceptable behaviour and social norms that members of the TRI community should adopt on a day to day basis.

TRI and other organisations in the TRI community have detailed policies on some of the matters also covered in this Code of Conduct. This Code is intended to be compatible—not in any conflict—with the codes of other organisations in the TRI Community and is designed as an umbrella code that supports the collaborative environment of the Institute. Accordingly both this Code of Conduct and specific workplace policies should be read in conjunction with each other, with the workplace policy to prevail to the extent of any inconsistency. Where an incident arises involving members of the TRI Community from different organisations, these organisations will work together to resolve any issues that arise.

Metro South Health



Queensland Government

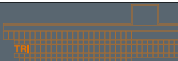


THE UNIVERSITY OF QUEENSLAND AUSTRALIA

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TRI



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TRI Vision and Purpose: 2022-2024

OUR VISION

Exceptional Science. Healthier Lives

OUR PURPOSE

Transforming health through collaborative research

OUR GOALS

-  **PARTNERSHIPS**
-  **COLLABORATION**
-  **EXCELLENCE**
-  **RELATIONSHIPS**



Our Values

This Code identifies ethical obligations and standards of conduct aligned to our values.

- Leadership** Our actions will shape a healthier world
- Integrity** We do the right thing – always
- Knowledge** Through sharing, we empower innovation
- Excellence** We strive for exceptional outcomes
- Collaboration** Together we're better

We **LIKE** Collaboration



Application

This Code applies to all members of the TRI community, being:

- officers and employees
- members of boards, committees, and other groups whether they hold office by election, selection, or appointment
- visiting and adjunct academics
- visitors, volunteers, students, contractors, consultants, and anyone who works in any other capacity for or on behalf

of the Translational Research Institute Pty Ltd, its shareholders and other occupants of the Institute.

For the purposes of this document, everyone to whom this Code applies will be referred to collectively as **'members of the TRI Community'**.

This Code applies at all times when members of the TRI Community are performing duties both at the Institute and when representing the TRI Community at conferences, training events, and work-related social events.

Your Commitment to Upholding this Code

Members of the TRI Community should familiarise themselves with this Code and endeavour to ensure that its principles are always observed.

All members of the TRI Community are expected to demonstrate high standards of ethical behaviour and awareness in their day-to-day actions and in the way they perform their duties.

Managers and supervisors have a responsibility to model and promote this Code by fostering an ethical environment and promoting an organisational culture that values high ethical standards and ethical decision-making. Managers and supervisors are also responsible for providing appropriate training to enable all members of the TRI Community under their jurisdiction to perform their duties to a high ethical standard.

The standards of conduct contained in this Code under each of the 6 pillars of conduct are not intended to cover all possible scenarios. In adhering to this Code, members of the TRI Community are committed to upholding the intent and spirit of these pillars of conduct.



The 6 Pillars of Conduct:



1. Respect



2. Integrity and Impartiality



3. Diligence



4. Economy and Efficiency



5. Undertaking and Assisting Research



6. Commitment to the Law and System of Institute Governance





1 Respect at TRI

The Institute values social justice and equal opportunity, and seeks to create a collegial environment where everyone is treated equitably and with respect, where everyone's rights are respected and where individual efforts are encouraged and their achievements given due recognition.

Personal behaviour towards, and interaction with, others is a vital part of the duties of all members of the TRI Community. All members of the TRI Community are expected to treat other members of the community equitably and with respect for their rights.





1 Respect at TRI

Courtesy and Responsiveness

Members of the TRI Community should be courteous and respectful in dealing with others—irrespective of their position or seniority—including anyone external to the TRI Community (for example, the general public).

Members of the TRI Community should make their best effort to respond to requests from other members of the community within an acceptable timeframe.

Refraining from Unfair Discrimination

Members of the TRI Community should treat everyone equitably and fairly. Distinctions, restrictions, or exclusions based on gender, sexual orientation, race, disability or medical condition, cultural background, religion, marital or parental status, age, political conviction, or any other factor that is irrelevant to a person's ability to work, is unlawful discrimination under relevant anti-discrimination laws.

Respect for the Privacy of Others

Members of the TRI Community who collect, access, or use personal information either in the course of their duties or during conversations with others, should respect the privacy of others by not disclosing personal information, except as permitted by their employer's privacy policies.

Respect for the Opinions of Others

Members of the TRI Community should recognise that everyone has the right to hold views and should give fair consideration and respect to the differing opinions and perspectives of others, irrespective of their position or seniority.

Members of the TRI Community should deal with disagreements by rational debate, and not by intimidation, coercion, vilification, or any other form of offensive or humiliating behaviour. Rational debate involves open communication, active listening and the freedom to voice alternative points of view.

Refraining from Harassment

Members of the TRI Community should not behave towards others in a manner which may reasonably be perceived as harassment. This includes intimidating, overbearing, offensive, humiliating, or any other unwelcome behaviour that causes distress to the recipient. Repeated incidents of this behaviour may also amount to bullying, and is not acceptable at TRI. Similarly, sexual harassment of any form is not acceptable behaviour at TRI.





1 Respect at TRI

Fair Supervisory Behaviour

Managers and supervisors are responsible for providing a fair working environment and setting the standards of respect for others. With respect to their subordinates, managers and supervisors should:

- act equitably and consistently in their dealings with them;
- maintain open, honest, and courteous communication with them;
- ensure their employees understand performance standards expected of them;
- provide a safe working environment that adheres to workplace health and safety obligations;
- provide equitable access to appropriate training and development; and
- reasonably accommodate personnel with a disability or family responsibilities, to allow religious or cultural observance or to accommodate other circumstances which may need to be considered in the execution of their work.

Evaluations of performance should be undertaken against these standards objectively and without bias.

Making Fair Decisions

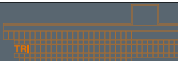
Members of the TRI Community should apply the principles of procedural fairness when making a decision, taking action of a discretionary nature, or resolving a grievance that may adversely affect another person's rights, liberties, interests or legitimate expectations. Anyone affected by such decisions or actions:

- should have the opportunity to understand and respond to allegations or assertions before a decision is made;
- is entitled to a decision made without bias; and
- is entitled to a decision based on considerations relevant to the matter at hand.

Fair and Encouraging Educator Behaviour

Members of the TRI Community involved in teaching or research training should encourage the pursuit of independent scholarly learning, critical judgment, academic integrity and ethical sensitivity in their students, and should themselves demonstrate these qualities in their interactions with students.

Educators should behave courteously towards students and should be sensitive to students' need for feedback and consultation. Students' interests should be given primary consideration in the relationship of trust that exists between educators and their students. Student evaluations should reflect each student's true merit.





2 Integrity and Impartiality

The trust that is placed in members of the TRI Community requires that they conduct themselves with honesty, fairness and propriety. Members of the TRI Community should be honest in carrying out their duties, avoid conflicts between their private interests and their responsibilities at the Institute, and avoid situations where there is a reasonable basis for the perception of such a conflict.

Members of the TRI Community facing a conflict of interest situation—whether actual, potential, or perceived— should notify their supervisor in writing. The supervisor has a responsibility to manage the privacy aspects with appropriate care, assess the conflict situation and the risk to the Institute,

and ensure the conflict is resolved in a way that promotes propriety and integrity. The supervisor—in consultation with the individual with the conflict situation, and other senior personnel if assistance is required—should decide and document strategies to appropriately manage the situation. Strategies will most likely involve removing or restricting the person's involvement in the matter giving rise to the conflict situation, or—where this is not feasible— assigning a disinterested third party to oversee part or all of the processes involved.

Researchers are supported in innovative and independent research, but in doing so, should adhere to principles of research integrity.





2 Integrity and Impartiality

Personal Relationships

A conflict of interest can arise when personnel make or participate in decisions that affect other personnel with whom they have a personal relationship, such as a close relative, spouse, personal friend or associate. Where a clear conflict arises, the individual should withdraw himself or herself from the situation. Where the relationship is not so close, the individual should seek counsel from someone in authority regarding the appropriate action to take.

A pre-existing hostile relationship between two personnel may also give rise to a perception of a conflict of interest.

Members of the TRI Community should not allow consensual sexual relationships with other members of the community to intrude or be seen to intrude in the workplace environment or compromise ethical practices. Such relationships can create difficulties in maintaining the boundaries between professional and personal life and may compromise the professional or personal standing of one or both of the people involved. Difficulties may also arise from the unequal power of the people involved.

Members of the TRI Community involved in a sexual relationship giving rise to a potential conflict of interest are encouraged to discuss this with a responsible supervisor or officer of their employer (for example, a HR officer) who can provide advice if it becomes necessary. Members of the TRI Community who become involved in a situation where a sexual relationship creates a conflict of interest should withdraw from the situation giving rise to the conflict. Members of the TRI Community in supervisory positions should be alerted to the need to handle such situations in a sensitive manner.



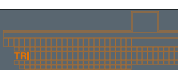
Financial Interests

Financial interests can give rise to a conflict of interest. Financial interests in private companies that have dealings with the Institute should be disclosed before members of the TRI Community become involved in any discussions, dealings or decisions about purchasing, expenditure or the awarding of contracts. In general, members of the TRI Community should avoid involvement in such transactions.

Gifts and Benefits

Members of the TRI Community should not ask for or encourage the giving of any form of gift or benefit in connection with the performance of their duties. Gifts and benefits can be perceived as an inducement to act in a particular way, creating a real or apparent conflict of interest.

Members of the TRI Community may give or accept an occasional gift of nominal value that is offered in accordance with social or cultural practice, for instance, when an individual retires or leaves the Institute or, visits another institute overseas.





2 Integrity and Impartiality

Appropriate Use of Institute Information

Members of the TRI Community will gain access to information while engaged in teaching, research, administrative, technical and support activities. Some information may be unavailable to the wider TRI Community or the public. Information of a commercial or strategic nature should be handled with the utmost sensitivity and should not be used for personal gain.

External Activities and Public Comment

Individual members of the TRI Community may be regarded as experts in a particular field of research and contacted for public comment. Such members of the TRI Community should consult the conditions of their institutional codes of conduct before commenting publicly.

Academic and research personnel employed by one or more of TRI's shareholders or other occupants of the Institute do not have an automatic right to represent TRI externally. Prior approval must be sought and obtained from the TRI CEO prior to speaking publicly in this capacity.

Members of the TRI Community should not engage in any party-political, professional, interest group and charitable activity that could give rise to a conflict of interest or impede the performance of their duties.

Where members of the TRI Community comment publicly in connection with their personal involvement in a trade union, political party or interest group, it should be made clear that such comment is made on behalf of the union, political party or association they represent and not as a representative of TRI.

Members of the TRI Community are permitted to make public comment in their capacity as private citizens. In making private comment (including via social media, email and the Internet), every effort should be made to ensure that the opinions expressed are not represented as an official view of the Institute.

Comment made by an individual in a private capacity should not compromise or be perceived to compromise the person's ability to carry out his or her duties.





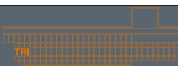
2 Integrity and Impartiality

Acceptance of External Work

Members of the TRI Community have a primary commitment to the duties of their appointment and position in the Institute. Outside work should not be accepted where it may cause a conflict between the person's private interests and their duties to the Institute. Members of the TRI Community should not seek to secure paid external work, including consultancy work, that would rightly be regarded as part of the duties they perform at the Institute.

Prior approval should be sought and obtained from the relevant CEO/Director/Head of School before outside work is undertaken. It is recognised that such work can be beneficial in forging links between the Institute and the community, and the work should not therefore create any unfair competition with others working in the professions or with any external community activity.

Any use of Institute facilities in connection with outside work may only occur where prior approval has been obtained, and where the Institute is recompensed for the full cost of such use.





3 Diligence

The Institute aims to achieve the highest standards of excellence in teaching, research and administration. All members of the TRI Community contribute to achieving this aim when they carry out their duties honestly, and in a professional and conscientious manner, and report fraud or corrupt conduct to the appropriate organisation, TRI or external authorities.

Standard of Performance

Members of the TRI Community should endeavour to maintain and enhance their skills and expertise and keep up-to-date the knowledge associated with their particular field or area of work. High standards of performance and a focus on client service—whether clients are staff, students, members of the academic or wider community—are expected. Members of the TRI Community should not allow outside work to interfere with the performance of their professional duties.

Members of the TRI Community should be aware of the performance standards expected of them for their duties. Managers and supervisors have a responsibility to ensure this information is made available to their subordinates.

Proper Care and Attention

Members of the TRI Community should exercise due care in undertaking their activities and making decisions, particularly where others will rely on advice or information offered.

Members of the TRI Community have a duty to take reasonable care to avoid causing harm—including physical harm—to themselves and/or others. Personnel should actively promote safe working practices and environments for everyone using Institute facilities, and report hazards in the work environment. Managers and supervisors are responsible for ensuring that activities within their area of authority are undertaken with proper diligence for the health and safety of all members of the TRI Community.

External Activities

Members of the TRI Community should take reasonable care that external activities and outside work does not interfere with the performance of their Institute duties.

Members of the TRI Community should ensure that the personal use of alcohol or other drugs does not affect their work performance and safety, or the safety and well-being of others.





3 Diligence

Disclosure of Fraud or Corrupt Conduct

Fraud, corrupt conduct or maladministration is contrary to law and is to the detriment of the TRI Community generally. Members of the TRI Community are therefore encouraged to report genuinely suspected or known fraud or corrupt conduct to their employer, TRI or external authorities.

Where an individual discloses impropriety or corrupt conduct to appropriate authorities, this should not result in harassment or other reprisal action by others.

Duty to Carry Out Official Policies and Decisions

Members of the TRI Community have an obligation to carry out official decisions and policies faithfully and impartially. This obligation applies even though individuals have the right to their employer's grievance procedures where they believe a decision is improper or they seek to have decisions or policy changed through appropriate channels.

Professional Ethical Standards

Members of the TRI Community who work in a professional capacity may have obligations or conventions related to their profession and any professional bodies to which they belong. The standards of conduct outlined in this Code are generally consistent with professional ethical standards. Members of the TRI Community subject to professional ethical standards should aim to act in a way that satisfies the ethical standards of the Institute and of their profession.

Professional and Conscientious Manner

Members of the TRI Community are expected to carry out their duties in a professional, responsible and conscientious manner, and to be accountable for their official conduct and decisions.





4 Economy and Efficiency

The resources required for the provision of research and teaching at the Institute are significant. All members of the TRI Community have a responsibility to ensure that resources are managed economically and effectively, for purposes consistent with the Institute's goals and priorities, and without harm to the community or the environment.

Appropriate Use of Property and Resources

TRI's material, financial and computerised resources should be used only for the legitimate purposes for which they are provided.

It is reasonable for members of the TRI Community to occasionally use Institute resources - for instance, to make a telephone call for private purposes, or to use computerised systems such as the Internet to enhance their skills in respect of these technologies. However, members of the TRI Community should be sensitive that in doing so they are using resources of the Institute and should endeavour to ensure that such use is kept to a minimum.

Members of the TRI Community are expected to use resources economically and minimise waste.

Security of Property and Facilities

TRI's equipment and facilities should be treated with appropriate care and secured against theft or misuse. This ensures that those resources are available to discharge TRI's functions.





5 Undertaking or Assisting in Research

Members of the TRI Community undertaking or assisting research should conduct research activities in accordance with their institutional codes of conduct for research. In the absence of an institutional policy, members of the TRI Community are required to abide by the national guidelines (the Australian Code for the Responsible Conduct of Research 2018 (<https://www.nhmrc.gov.au/about-us/publications/australian-coderesponsible-conduct-research-2018>)).

These principles relate to responsible and ethical research methodology and practice, research collaboration and authorship, and the role of personnel who provide research training as supervisors of research students or trainees.

Data Management

Academic and research personnel should manage clinical and non-clinical data in accordance with their respective institutional guidelines. In the absence of institutional guidance international best practice should be followed. For example:

- the Therapeutic Goods Administration ("TGA") guidelines on conduct of clinical research;
- the TGA guidelines on electronic data and records; and
- CDISC's website for standards for clinical data interchange.

Members of the TRI Community should follow their respective institutions'/organisations' advice on this matter.

Principles of Research Integrity

Members of the TRI Community undertaking or assisting research should do so in a manner consistent with intellectual honesty and the public interest. In practice, this means that research should be designed to enhance knowledge in the particular field of scholarship, that it should employ sound methodology, and that the accuracy and integrity of data should be safeguarded.

The ideas, information or intellectual contribution of others should be acknowledged appropriately and the intellectual property of others respected. Ownership of intellectual property is determined in accordance with their institutional intellectual property policies.

Confidentiality

Members of TRI and its shareholders are subject to the TRI Institute-Wide Confidentiality Agreement, which requires information shared as part of research and business-related discussions that occur at one of TRI's facilities (including grant and candidate reviews or panels, seminars, and preliminary research discussions) to be kept confidential. Disclosers should take reasonable steps to make recipients aware of the confidential nature of information being shared. Similarly, recipients of this information are required to uphold its confidentiality and may only use it in accordance with that agreement. For formal research collaborations, members of TRI and its shareholders should enter into project-specific confidentiality and collaboration agreements in accordance with their institute's policies and procedures.



6 Commitment to the Law and System of Institute Governance

Non-Compliance

Non-compliance with this Code presents a risk for the Institute.

The Institute relies on all members of the TRI Community to identify and report conduct that is not consistent with this Code. The Institute will support personnel who report genuine concerns about non-compliance with this Code. The Institute's managers, supervisors, and executive officers have a responsibility to make fair, transparent, and consistent decisions regarding any allegations of behaviours that do not uphold this Code.

Consequences of Non-Compliance

Where the conduct of a TRI employee or officer falls below the standards outlined in this Code, the individual may be counselled in accordance with normal performance management strategies. Other members of the TRI Community who fail to comply with this Code may have their rights of access to services, facilities, or infrastructure revoked, or their association with the Institute terminated.

Significant departures from the standards outlined in this Code may amount to misconduct on the part of the individual, as defined by the policies of their employer/associated institute. Some breaches of this code may have consequences for individuals if they also contravene criminal or civil provisions of the general law—for example, the Criminal Code (Qld), or the Anti-Discrimination Act 1991 (Qld).





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