



APRA

APRA CODE OF CONDUCT

Name of Document: APRA Code of Conduct

Associated Documents:

- APRA's Public Interest Disclosure Policy and Procedures
 - Chairman's Finance Instructions
 - Staff Disclosure of Interests policy
 - Fraud Control Plan
 - Enterprise Security Management Policy
 - Information Security Policy – acceptable use and privacy
 - Enterprise Risk Management Incident Reporting Policy
 - People and Culture Policies
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Policy Owner: General Manager, People & Culture

Document Owner: Senior Manager, People & Culture

Approved By: Executive Board Minute Dated 21 November 2017

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V1.0	Board	21 November 2017
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VALUES

The Code of Conduct, alongside APRA's Values, outlines how we expect you to carry out any activities where you represent APRA.



Integrity

We act without bias, are balanced in the use of our powers, and deliver on our commitments



Collaboration

We actively seek out and encourage diverse points of view, to produce well-founded decisions



Accountability

We are open to challenge and scrutiny, and take responsibility for our actions



Respect

We are always respectful of others, and their opinions and ideas



Excellence

We maintain high standards of quality and professionalism in all that we do

PERSONAL & PROFESSIONAL BEHAVIOUR

You should demonstrate the highest standards of professional conduct and integrity at all times by living the APRA Values and upholding this Code, as well as the obligations and responsibilities imposed by other APRA policies.

Respect and integrity



APRA's Values

Fraud Control Plan

Discrimination and harassment/safe work environment



People and Culture policies

Compliance with applicable legislation and policies



Applicable Australian laws and Commonwealth Government policies

Investigations and consequences



People and Culture policies

ETHICAL BEHAVIOUR

APRA staff should act to the highest ethical standards at all times and in all of their dealings.

Conflicts of interest



People and Culture policies

Disclosing financial holdings



Staff Disclosure of Interests Policy

Receipt of gifts or hospitality



Chairman's Finance Instructions

Reporting incidents and breaches



Public Interest Disclosure Policy and Procedures

Enterprise Risk Management Incident Reporting Policy

Security



Enterprise Security Management Policy

Information Security Policy – acceptable use and privacy



Purpose and objective

The Code of Conduct (Code) outlines the standards we expect you to meet as an employee or contractor providing goods or services to APRA. The Code describes how you should conduct yourself at all times, and is underpinned by our Values and our regulatory mandate under the APRA Act.



Scope

This Code applies to you if you:

- are an employee of APRA and are:
 - in APRA's workplace; or
 - conducting business on behalf of APRA from an external location; or
 - participating in work-related functions or events; or
 - outside of work where your conduct may impact in any way on APRA's reputation, your colleagues, APRA employees or APRA business; or

- occupy a position (whether as a contractor, consultant or otherwise) within APRA; or
- have access to APRA's information and communication technology systems.

This Code does not form part of any contract between APRA and an employee, contractor or consultant. It does not impose any contractual obligations on APRA. The Code may be reviewed, varied or replaced by APRA at any time at the discretion of the APRA Members.



Ethical behaviour

You are also expected to:

- report any incidents relating to fraud, corruption, breaches of confidentiality requirements under the APRA Act, stakeholder complaints, breaches of security protocols or others as outlined in the Enterprise Risk Management Incident Management Policy and Procedures;
- respect confidential or sensitive information you have access to and do not take advantage of, or allow others to take advantage of, information or knowledge obtained during the course of your employment;
- avoid any conflict of interest (real or perceived) in connection with your employment, including disclosing internal or external personal relationships that be perceived as a conflict of interest;
- immediately advise your line management where other employment or business activities (including paid or unpaid activities) create a conflict of interest (real or perceived) with the interests of APRA;
- take reasonable steps to avoid accepting gifts, benefits, offers of hospitality, compensation or consideration that might reasonably be expected to create a conflict of interest;
- provide accurate and honest information to reasonable requests about your employment and job activities;
- disclose any equity holdings you have in APRA-regulated entities and abide by the Staff Disclosure of Interests Policy in acquiring financial holdings; and
- use APRA resources in a proper manner and for a proper purpose.

Reporting suspected violations of the code

We are committed to ensuring all business activities and interactions are ethical and compliant with legislation, regulations, internal policies and community standards. As such, if you suspect a breach of the Code has occurred, you should immediately report the matter to your immediate manager or to the General Manager, People and Culture.

APRA's Public Interest Disclosure Policy and Procedures, which are available on the APRAnet, explain how employees with a genuine concern can complain about any behaviour they believe may be corrupt, involves fabrication or falsification or maladministration, perverts the course of justice or abuses public trust, involves wastage, or endangers the health and safety of our staff or the environment.

Investigation and consequences of potential code violations

We take all reports of potential Code violations seriously and, where required, we will investigate complaints or alleged breaches. If an investigation is required due to a potential Code violation, we may suspend your employment while the investigation is undertaken if we believe, on a reasonable basis, it is appropriate to do so. If you breach the standards of conduct set out in the Code, you may face disciplinary action up to, and including, termination of employment.

Awareness of this code

This Code may vary as APRA's practices and activities change. Please make sure you review and familiarise yourself with the requirements of this Code, as it is updated from time to time. Failure to read the Code does not excuse you from compliance with it.

This Code is available on the APRAnet, along with APRA's policies.

You are required to acknowledge you have read and understood this Code at least annually.

Who do I speak to for more information?

If you have any questions or concerns about the Code or its application, contact your line manager or our Employment Relations and Wellbeing team within People and Culture.





 **APRA**