



Code of Ethics and Business conduct For employees of the Commission for Railway Regulation

Commissioners Introduction

The Department of Finance Code of Practice for the Governance of State Bodies makes provision for a Code of Business Conduct for Employees. Under this Code of Practice, the Commission for Railway Regulation (CRR) is required each year to confirm to the Minister for Transport that appropriate procedures and controls are in place in the CRR. This includes confirmation that a Code of Ethics and Business Conduct for Employees is in place and is being adhered to.

The CRR Code of Ethics and Business Conduct for Employees (hereafter referred to as The Code) sets out in written form the agreed standards of principle and practice which inform the conduct of employees of the CRR.

The Code is complementary to other procedures, policies, rules and regulations, in particular HR policies including those relating to attendance, sick leave, annual leave etc, and each employee's conditions of employment, and it does not affect obligations under the legislation underpinning employment or other relevant legislation e.g. Equality Act, Ethics in Public Office Acts, Data Protection Acts etc. The Code applies to all employees of the CRR whether employed on a permanent, temporary, part-time basis or on work experience of any kind.

It is not feasible to have a code which will specifically provide for all situations which may arise. Staff of the CRR should bear in mind, therefore, that it is primarily their responsibility to ensure that all of their activities, whether covered specifically or otherwise in this document, are governed by the ethical and other considerations implicit in it.

Noting of Code of Conduct by Employees

Each employee is requested to sign a Declaration of Understanding, set out on the final page of this document, that they have read and noted the Code. When signed, the Declaration of Understanding should be returned to the Head of Governance and Regulation.

Gerald Beesley
Commissioner
Commission for Railway Regulation

Objectives

The objectives of this Code for employees are:

- To establish an agreed set of ethical principles guiding the CRR in its work, for the benefit of staff, reviewing them from time to time to ensure that they meet or exceed the standards of public service performance required by statute.
- To promote and maintain public confidence and trust in the CRR and its work.

Principles

The following principles and practices inform this Code:

That the staff of the CRR will behave with integrity by ensuring that:

- They are not involved in any outside employment or business interests which are in conflict or in potential conflict with the business of the CRR and that they inform the CRR if they are or intend to be engaged in any such outside business or employment activity;
- They attend at work as required and do not absent themselves from work without proper authorisation;
- They avoid the giving or receiving of corporate gifts, hospitality, preferential treatment or benefits which might affect or appear to affect the ability of the donor or the recipient to make independent judgement on business matters;
- Purchasing goods or services is conducted in accordance with best business practice;
- Any financial reports and statements accurately reflect the CRR's performance and are not misleading or designed to be misleading;
- The CRR's resources or a staff member's association with the CRR are not used for personal gain.

That the staff of the CRR will promote transparency and accountability by:

- Complying with relevant statutory provisions (such as data protection legislation, Freedom of Information Acts);
- Ensuring that access is readily available to general non-confidential information relating to the CRR's activities;
- Subject to the provisions of the Freedom of Information legislation, ensuring that they maintain the confidentiality of information obtained by virtue of their position, in particular, commercially sensitive information, personal information, and information received in confidence (consistent with the requirement for transparency in the distribution of public funds);
- Undertaking appropriate prior consultation with third parties where, exceptionally, it is proposed to release sensitive information in the public interest.

That the staff of the CRR will promote loyalty, propriety, and fairness by acknowledging in their dealings with the public, private and voluntary sectors and in their dealings with each other:

- The duty to conform to highest standards of business ethics;
- The responsibility to be loyal to the CRR and fully committed to promoting its purposes and interests;
- The need to comply with employment equality and equal status legislation;
- The need to ensure that all stakeholders are dealt with in a respectful manner;
- A commitment to fairness and equality of treatment in all of their dealings with the public including compliance with the public service principles of quality customer service.

- The need to ensure that their standard of dress is appropriate to their work environment;
- The need to show due respect for their colleagues at work. Staff should ensure that their behaviour towards other colleagues is appropriate to the work place; Staff have a legal duty not to discriminate against colleagues on the basis of their gender, race, sexual orientation, membership of the travelling community, disability, age, marital status, family status and religious or political belief. All staff are required to support a positive working environment by observing and supporting the CRR's anti-harassment, sexual harassment and bullying policy.

That the CRR and its staff will meet its statutory and regulatory obligations by:

- Complying with detailed tendering and procurement procedures as well as with prescribed levels of authority for sanctioning any relevant expenditure;
- Introducing controls to prevent fraud, including adequate controls to ensure compliance with prescribed procedures in relation to claiming of expenses for business travel.

That the CRR will behave responsibly as an employer and a public agency by:

- Placing the highest priority on promoting and preserving the health and safety of employees;
- Circulating this Code and information on disclosure of interests to all relevant employees for their retention, ensuring that their implications are fully understood, and that any explanation of their current or potential impacts, or ethical considerations arising from their implementation, have been fully discussed;
- Reviewing this Code on a regular basis.