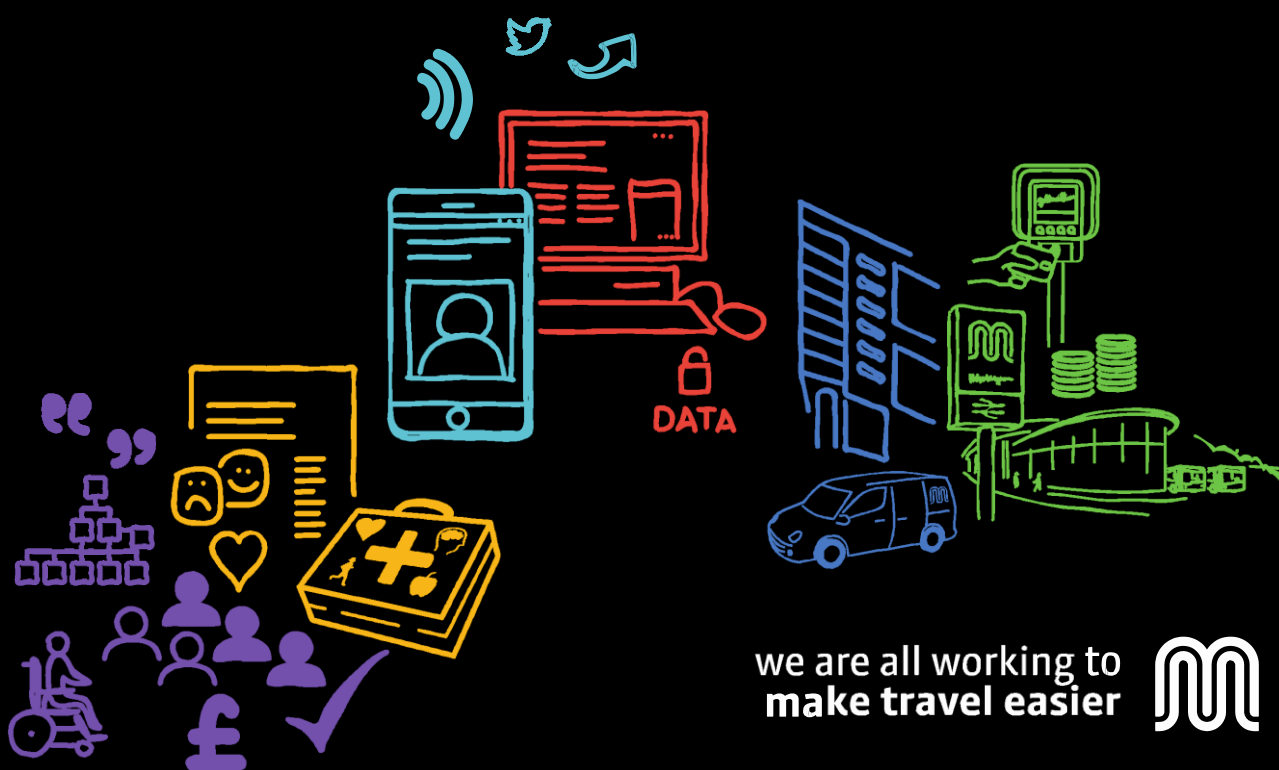


# Code of Conduct

A guide to working at TfGM



we are all working to  
make travel easier



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## 1. Introduction

TfGM is a public sector provider of transport infrastructure and is accountable to the people of Greater Manchester who are entitled to expect conduct of the highest standard from its employee and non-employee resources.

This Code of Conduct, referred throughout this document as ‘The Code’, sets out the rules and standards of conduct governing employee and non-employee resources. Employees are directly employed by TfGM on permanent or fixed term contracts. Non-employee resources include agency workers, contractors and consultants.

‘The Code’ provides a link to all the policies and procedures referred to in the document. The majority of these policies and procedures can also be found on TfGM’s intranet portal.

‘The Code’ identifies employee and non-employee resources’ responsibilities at work and provides the framework to support and guide behaviour and actions in carrying out their duties.

‘The Code’ will assist employee and non-employee resources in the effective performance of their duties and the overall efficiency of TfGM operations.

There is an expectation that employee and non-employee resources will familiarise themselves with the policies and procedures referred to in ‘The Code’ and adhere to these at all times.

The term ‘reasonableness’ is referred to throughout ‘The Code’ and should be interpreted as an action that is in proportion to the circumstances.



Any employee or non-employee resource who may have difficulty accessing, reading or understanding 'The Code' should seek assistance from HR or from their line manager.

## 2. Scope

'The Code' applies to employee and non-employee resources. Some of the provisions of 'The Code' apply to employees only and others apply to employee and non-employee resources equally. A key is provided to indicate which group the provisions apply to:

**E** indicates employees

**N-ER** indicates non-employee resources

The provisions cover all activities engaged with on behalf of TfGM irrespective of whether these take place at, or outside of, the place of work and within, or outside, normal working hours.

## 3. Key Principles

The provisions of 'The Code' should be viewed in a constructive light, in that they clearly outline the standards of behaviour expected of employee and non-employee resources.

All work carried out by employee and non-employee resources on behalf of TfGM will be undertaken in line with TfGM's Values which requires a commitment to being:

RELIABLE by doing what we will say we do

HONEST in our communications and our feedback

RESPECTFUL in how we behave

REWARDING by recognising a job well done

EMPOWERING by enabling potential to be realised

Employee and non-employee resources are expected to cooperate with any reasonable management instruction relating to an investigation into a breach of 'The Code' affecting either themselves or another TfGM employee or non-employee resource.



#### 4. Roles and Responsibilities

Role	Responsibility
<b>Employee and Non-Employee Resources</b>	<ul style="list-style-type: none"> <li>✓ To read and understand all elements of 'The Code' and how these impact on their employment (employees), agency contract (agency workers), contract (contractors) and contract for services (consultants).</li> <li>✓ To maintain conduct of the highest standard to ensure that public confidence in TfGM's integrity is sustained</li> <li>✓ To be fair and honest in all activities carried out on behalf of TfGM</li> <li>✓ To incorporate and promote equality, diversity and inclusion in all activities carried out on behalf of TfGM</li> <li>✓ To ask for clarification from their manager on any aspect of 'The Code' that is not clear</li> </ul>
<b>Managers (in addition to the above)</b>	<ul style="list-style-type: none"> <li>✓ To be a role model for the standards set out in 'The Code'</li> <li>✓ To ensure that the standards set out in 'The Code' are communicated to their teams</li> <li>✓ To provide clarification, as required, in relation to elements of 'The Code' to team members</li> <li>✓ To coach, support and provide feedback to members of the team on their performance or conduct with respect to the required standards as set out in 'The Code'</li> <li>✓ To take appropriate action, at the earliest opportunity to manage non-compliance with the provisions set out in 'The Code'</li> </ul>

#### 5. Standards of Behaviour

##### Absence

**Applies to: E**

Employees should comply with the rules relating to attendance including the notification of absence, cooperation with management over wellbeing, and support initiatives during and after sickness absences.

Employees experiencing issues with absence may wish to seek the support of the [Employee Assistance Programme](#).



Further detail is available in the [Attendance Management Policy and Procedure](#).

### **Alcohol and Substance Misuse**

**Applies to: E and N-ER**

Employee and non-employee resources are not permitted to attend work under the influence of alcohol, drugs or other substances, unless prescribed by a medical practitioner.

Further detail is available in the [Substance Misuse Policy and Procedure](#). **(Applies to E only)**

TfGM is committed to the health and wellbeing of its employees and will provide support and assistance to employees with alcohol, drugs or other substance misuse issues. **(Applies to E only)**

Employees experiencing issues with alcohol, drugs or other substances are strongly encouraged to seek support through the [Employee Assistance Programme](#). Employees should also inform their manager of any issues associated with their ability to carry out their duties or where they present a risk to other employees, service users or members or the public. **(Applies to E only)**

### **Confidentiality**

**Applies to: E and N-ER**

Employee and non-employee resources must not use any information obtained in the course of their employment (employees) or engagement (non-employee resources) for personal gain or benefit, or pass it on to others who might use it in such a way, unless as authorised in the performance of duties.

Employee and non-employee resources must not disclose confidential information to any third party which could be prejudicial to TfGM's interests.

Employee and non-employee resources should familiarise themselves with, and adhere to, any local provisions relating to the maintenance of information.

If employee or non-employee resources have concerns about malpractice, illegal acts or omissions relating to confidentiality on the part of an employee, contractor or third party at work, they should refer their concerns to their line manager, a member of the HR team or a trade union representative for further consideration under the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).

### **Criminal Convictions**

**Applies to: E**

All prospective employees are required to declare unspent criminal convictions under the Rehabilitation of Offenders Act 1974 (as amended). TfGM will assess all such disclosures in light of whether these affect an employee's ability to undertake their role.



During the course of employment, any employee convicted of a criminal offence must inform their line manager of the nature of the offence and the penalty imposed, in order for TfGM to make an assessment of whether this affects the employees' ability to undertake their role.

In both scenarios an assessment process will be carried out in line with established TfGM procedures.

### **Diversity and Inclusion**

**Applies to: E and N-ER**

TfGM is committed to respecting and valuing the diversity of its workforce and the communities it serves. It will not tolerate discriminatory behavior, including harassment and bullying on the part of any employee and non-employee resource, towards colleagues or members of the public. All employee and non-employee resources are encouraged to understand the diversity and inclusion elements of their roles, and to ensure that they provide an inclusive high quality service.

TfGM's corporate [Diversity and Inclusion Provisions](#) set out the organisation's principles and commitments. All employee and non-employee resources must familiarise themselves with these.

### **Dress Code**

**Applies to: E and N-ER**

Employee and non-employee resources shall observe a standard of personal appearance which is appropriate to the nature of their work, portrays a professional approach and follows operational, and health and safety requirements.

TfGM values the ethnic diversity of its workforce and will ensure, unless health and safety requirements preclude, the freedom of employee and non-employee resources to observe cultural and religious dress requirements.

### **Grievance**

**Applies to: E**

TfGM recognises that there may be instances where employees wish to challenge an action or inaction on the part of another employee or manager, and provides employees with the right to submit a grievance.

Efforts will be made to resolve such matters at an informal stage. If these fail, the matter will be referred to a formal process requiring an independent manager to consider the grievance.

Employees will not suffer any adverse consequences as a result of the submission of a grievance in good faith.

Further detail is available in the [Grievance Policy and Procedure](#).



## Health, Safety and Environment

**Applies to: E and N-ER**

Safety at TfGM is based on four core values which are:

- ✓ Health and safety is everyone's responsibility
- ✓ Personal safety is our highest priority
- ✓ Health and safety can, and will, be effectively managed
- ✓ Every work related injury or illness could, and should, have been prevented

All employee and non-employee resources have a duty of care to take responsibility for their own health and safety, and that of others who may be affected by their actions at work. Employee and non-employee resources must cooperate with employers and co-workers to help everyone meet their legal requirements.

Further details are available on TfGM's [Health, Safety and Environment home page](#), and within the [Integrated Safety Management System](#).

Employee and non-employee resources should talk to their managers, a HR team member, a trade union representative, or a member of the Safety and Compliance team if they have any specific queries or concerns relating to health and safety in the workplace.

## Misconduct

**Applies to: E**

Employees should comply with the standards outlined in 'The Code' and any rules and standards determined locally by team managers. Willful failure to do so on the part of an employee may result in action under the Disciplinary Policy and Procedure.

Efforts will be made to resolve such matters at an informal stage. If these fail, the matter will be referred to a formal process requiring an independent manager to consider the alleged misconduct.

Further detail is available in the [Disciplinary Policy and Procedure](#).

## Performance

**Applies to: E**

Employees are expected to maintain satisfactory standards of performance in their posts.

Where standards fail to do so, managers will endeavor to support the employee to bridge the gap in performance via an informal performance improvement plan.

After the exhaustion of informal measures the formal process may be instigated which could involve the determination of an independent manager on the performance matter.

Further detail is available in the [Capability Policy and Procedure](#).





## Smoking

**Applies to: E and N-ER**

Employees are not permitted to smoke cigarettes or e-cigarettes in any TfGM building.

Further detail is available in the [Smoking Policy](#).

TfGM is committed to the health and wellbeing of its employees and will provide support and assistance to employees who wish to stop smoking. Employees can also access the [Employee Assistance Programme](#) to seek support to stop smoking. **(Applies to E only)**

## 6. Conflicts of Interest

### Public Duty and Private Interest

**Applies to: E and N-ER**

Employee and non-employee resources must not allow their personal interests to conflict with their TfGM duties, thereby undermining TfGM's reputation or public confidence.

Employee and non-employee resources must not use their position at TfGM in a way which could reasonably be considered improper in order to bring advantage or disadvantage to any person or other organisation.

### Declaration of Financial and Other Interests

**Applies to: E and N-ER**

TfGM has adopted, for its internal purposes, the guidance 'Openness and transparency on personal interests' published by the Department for Communities and Local Government in September 2013.

Only employee and non-employee resources with responsibility for specification, evaluation or procurement, and employee and non-employee resources who attend and contribute to decision making at the Executive Board, or any of its delegated decision making committees, must declare their 'pecuniary interests' in TfGM's Register of Declarations of Interest.

Pecuniary interests are business interests external to TfGM and wider financial interests such as trust funds, investments and assets. Employee or non-employee resources must declare their pecuniary interests in any undertaking that may contract with TfGM within that employee or non-employee resource's area of responsibility. These should be emailed to Planning and Performance. The Declarations of Interest register is stored in [Sharepoint](#).

An interest which is held by a spouse/civil partner, including any person with whom an employee or a non-employee resource is living as husband or wife or civil partner, is an interest of the employee or the non-employee resource within the meaning of 'The Guidance'.



Further detail is available in the [Register of Declarations of Interest](#).

### **Working Time**

**Applies to: E**

Managers should not authorise or approve additional working hours in TfGM roles that will take the employees' average working week beyond the Working Time Directive 1998 threshold of an average of 48 hours per week over 17 weeks.

Employees may have secondary employment on a voluntary basis, on a fee-paying or recognition-in-kind basis or they may engage in other businesses.

Employees are obliged to inform their manager of any secondary employment.

Management may, on HR advice, have a further discussion with the employee to discuss any potential conflicts of interest or health and safety risks.

Employees have an ongoing obligation to inform their manager of any changes to the nature of the secondary employment duties.

Employees are not permitted to undertake activities related to secondary employments during working hours or to use TfGM resources for these purposes.

### **Probity of Records and Other Documents**

**Applies to: E and N-ER**

The deliberate falsification of records or other documents to secure pay or another financial benefit by employee and non-employee resources is not permitted. Any such action may be regarded as a criminal offence and may invoke legal action as well as internal action.

All instances of the deliberate falsification of documents with respect to financial matters are dealt with in accordance with TfGM's Financial Regulations. These are also included in [Appendix D](#) of the TfGM Constitution.

### **Financial Inducements, Gifts and Hospitality**

**Applies to: E and N-ER**

Employee and non-employee resources should not, on any account, accept secondary employment or a financial payment from any person, body or organization (e.g. contractors, developers, consultant, and stakeholders) with which TfGM has commercial links.

TfGM has a Gifts and Hospitality Policy and Procedure which gives clear guidance on what gifts or hospitality may, or may not, be acceptable and the procedures to be followed on accepting and recording any instance of a gift or hospitality being received.



All employee and non-employee resources should also be aware that, under Section 117(2) of the Local Government Act 1972, it is a criminal offence to accept any fee or reward whatsoever other than proper remuneration due for the performance of specified duties.

Any gifts or hospitality accepted, if appropriate to be received in accordance with the Gifts and Hospitality Policy and Procedure, must be notified to the recipient's manager and recorded in TfGM's Hospitality Register.

Any gift or hospitality must be declined during any period when a procurement process which may potentially involve the offeror is ongoing.

Further detail is available in the [Gifts and Hospitality Policy and Procedure](#).

### **Promotional Offers and Prizes**

**Applies to: E and N-ER**

Any promotional offers or prizes given by suppliers are to be treated as TfGM's property. These can only be used for the benefit of TfGM.

Employee and non-employee resources should notify their manager on receipt of all promotional offers or prizes. Any such offers or prizes will only be acceptable with the approval of the Chief Operating Officer or the Director of Finance and Corporate Services.

### **Sponsorship**

**Applies to: E and N-ER**

Where TfGM sponsors an event or service, employee and non-employee resources, their partners, spouses or relatives must not knowingly benefit from the sponsorship. It is recognised however, that it is acceptable for employee and non-employee resources to accept free gifts such as tickets, providing these are offered on a transparent basis, and the employee and non-employee resources' manager is notified. Employee and non-employee resources who are involved with such events on a personal basis must inform their manager of such.

### **Political Neutrality**

**Applies to: E and N-ER**

Employee and non-employee resources are responsible for ensuring that their right to engage in political activities outside of the workplace does not result in an actual, or perceived, conflict of interest with their official duties with TfGM.

Employee and non-employee resources must not allow their personal or political opinions to interfere with how they carry out their duties at TfGM.

Employee and non-employee resources should not attend meetings of political groups in the capacity of a TfGM employee or non-employee resource unless specifically authorised to do so by management.



Whilst engaged with TfGM activities, employee and non-employee resources must not wear or display any objects indicating support for or opposition to any political party.

Employee and non-employee resources in politically restricted posts will be advised of this at appointment stage and must comply with the specified restrictions at all times.

## 7. Relationships

### Other Employee and Non-Employee Resources

**Applies to: E and N-ER**

Employee and non-employee resources must treat other employee and non-employee resources with courtesy and respect. It is not acceptable under any circumstances to verbally or physically abuse, harass or bully a fellow colleague.

Employee and non-employee resources must inform their manager in any situation where their impartiality, objectivity, or honesty may be compromised due to their being related to or having a close personal relationship (partner, spouse, friend or family member) with a fellow employee or non-employee resources.

### Elected Members

**Applies to: E and N-ER**

Employee and non-employee resources must treat elected members with courtesy and respect during the course of their duties.

Employee and non-employee resources must declare any personal relationship with an elected member to their line manager. There may be a need to change the post or duties of employee and non-employee resources where the relationship with an elected member could present a conflict of interest.

### Contractors

**Applies to: E and N-ER**

All employee and non-employee resources whose work involves the procurement, appointment or supervision of contractors must adhere with the rule that all orders and contracts are awarded on merit through fair competition, in line with TfGM's contracting procedures held within the [Procurement Manual](#) which is saved under Procurement Procedures and Policies and [TfGM's Constitution](#).

Employee and non-employee resources must disclose any former, or current, private or official relationship with the relevant contractor to their Head of Service. In such circumstances, TfGM reserves the right to remove the employee or the non-employee resource from any area of direct, or indirect involvement with the contractor.



Employee and non-employee resources who are privy to confidential information on tenders, or costs, for external or internal contractors must not disclose this information to any unauthorised party or organisation.

A confidentiality form may need to be completed in such circumstances. All enquiries should be directed to the Legal section.

### **The Media**

**Applies to: *E and N-ER***

All communications with the media relating to the activities of TfGM are handled through the Corporate Affairs team. Therefore all requests should be directed to that team.

Employee and non-employee resources are not permitted to communicate with the media on matters relating to TfGM without authorisation from the Corporate Affairs team.

Employee and non-employee resources who wish to submit material relating to their work specialism for publication, for example to a professional body or trade journal, should advise their line manager of such. Corporate Affairs should be contacted in advance of all such submissions.

Further detail is available in the [Media Guide](#).

### **Appointments and Other Employment Decisions**

**Applies to: *E***

All employee appointments should be made on merit, following the recruitment and selection procedures.

Employees who are related to, or have a close personal relationship (partner, spouse, friend or family member) with, a candidate for a TfGM role should not be involved with the recruitment and selection process.

Employees who are related to, or have a close personal relationship with, another employee should not be party to a decision relating to a grievance, discipline, capability or pay affecting that employee.

Applicants for all TfGM roles should disclose any relationship with a TfGM employee at the application stage.

Further detail is available in the [Recruitment and Selection Policy and Procedure](#).



## 8. Use of Resources and Property

### Dealing with Money

**Applies to: E and N-ER**

Employee and non-employee resources must ensure that they use public funds that have been entrusted to them in a responsible and lawful manner.

Employee and non-employee resources with responsibility for financial matters including: the management of money; the responsibility for assets; the handling of cash; and the management of budgets and/or purchasing must ensure that they understand, and comply with TfGM's Financial Regulations. These are available in the [TfGM Constitution](#) (Appendix D).

Employee and non-employee resources engaged with the spending of TfGM money must ensure that there is an approved budget for the expenditure, and that it is within the limits that the employee or non-employee resource is authorised to spend.

### Use of Property, Facilities and Systems

**Applies to: E and N-ER**

TfGM's property and facilities are provided for official TfGM business.

Employee and non-employee resources may use TfGM telephones, mobiles, photocopiers, computers and ipads for personal use. Line managers will determine a reasonable level of use, i.e. for relatively short periods of time, within the employee and non-employee resources' own time and that it does not affect the employee and non-employee resources' performance in their TfGM duties.

Where equipment or property owned by TfGM is no longer required, employee and non-employee resources may be permitted to acquire these items with their line manager and Head of Function's authorisation.

All TfGM owned property, portable equipment (ipads, laptops, surface pro, etc.), devices (phones) and 'intellectual property' (policies, data) must be returned to the employee or non-employee resource's line manager on leaving TfGM employment.

Access to TfGM systems and any TfGM documents or data must cease on leaving TfGM.

Specific guidance is included within the [IS Acceptable Use Policy](#) and the [IS Access Control Policy](#) with supporting detail contained in the full suite of IS Policies and Procedures, as outlined on pages 16 and 17 of 'The Code'.



## Monitoring of Communication Systems

**Applies to: E and N-ER**

TfGM has the right to access and monitor the use of TfGM communication systems, e.g. telephone, mobile, photocopier, internet and email, by employee and non-employee resources.

In situations where TfGM suspects that an employee or non-employee resource has been misusing facilities, their manager may obtain the employee or non-employee resource's email and internet activity from IS to allow them to investigate the matter further. This will be undertaken in line with the relevant policy and on the notification of the employee or the non-employee resource.

Telephone and mobile phone usage is monitored by the Cisco Call Manager, the Cisco Unified Communications system, the Redbox voice recording system, the Tiger billing system and the Vodafone Corporate On-Line system. TfGM is able to listen to telephone conversations for the purposes of monitoring customer service.

Specific guidance is included within the [IS Acceptable Use Policy](#), the [IS Operations Policy](#), and the [IS Electronic Communications Policy](#) with supporting detail contained in the full suite of IS Policies and Procedures, as outlined on pages 16 and 17 of 'The Code'.

## Computer Misuse

**Applies to: E and N-ER**

Employee and non-employee resources are only permitted to access parts of the computer system which are necessary for them to do their work.

The following are some examples of what constitutes computer misuse:

- ✓ The introduction of viruses through deliberate or neglectful actions on the part of an employee or non-employee resource
- ✓ The loading and/or use of unauthorised software
- ✓ Creating, sending or forwarding any message that could constitute bullying or harassment, or whose content or intent would reasonably be considered inappropriate or unacceptable
- ✓ Accessing pornography
- ✓ Online gambling
- ✓ The use of systems for illegal activities
- ✓ Mass-mail shots for specific personal views, gain or other personal use not relevant to the employee or non-employee resources' post
- ✓ Obtaining unauthorised access

Specific guidance is included within the [IS Acceptable Use Policy](#), the [IS Operations Policy](#), the [Information Security Policy](#), the [IS Virus and Anti-Virus Policy](#), and the [IS Electronic](#)





[Communications Policy](#) with supporting detail contained in the full suite of IS Policies and Procedures, as outlined on pages 16 and 17 of 'The Code'.

### **Social Networking Websites**

**Applies to: E and N-ER**

TfGM does not allow access to social networking websites for personal use. Access to such sites and blogs will only be permitted where this is necessary in the pursuit of TfGM duties, with manager authorisation.

Employee and non-employee resources are required, at all times, to adhere with the principles of confidentiality and ensure that their use of social media does not compromise TfGM's reputation. In this regard the following serves as a guidance:

- ✓ Employee and non-employee resources should not use social media to defame or disparage TfGM, its employees, non-employee resources or associates
- ✓ Employee and non-employee resources should not use social media to harass, bully or unlawfully discriminate against any employee, non-employee resource or associates
- ✓ Employee and non-employee resources should not express opinions on TfGM's behalf on social media, including sensitive business or political-related topics
- ✓ Employee and non-employee resources should not post anything on social media which would jeopardise TfGM confidentiality or 'intellectual property'.

Specific guidance is included within the [IS Acceptable Use Policy](#), the [IS Operations Policy](#), the [Information Security Policy](#), the [IS Electronic Communications Policy](#), the [IS E-Mail Policy](#), the [IS Mobile Device Usage Policy](#), the [IS Technology Usage Policy](#), and the [Mobile Communications Policy](#), with supporting detail contained in the full suite of IS Policies and Procedures, as outlined on pages 16 and 17 of 'The Code'.

### **Intellectual Property**

**Applies to: E and N-ER**

'Intellectual Property' is a generic legal term, which refers to the rights and obligations in relation to (amongst other things) inventions, patents, creative writings, designs, logos and trademarks. This term, as applied to the workplace, includes policy, training and technical documents, materials, source code in software, the trading name of the organisation and the trade marks that it operates under (whether registered or unregistered).

Employee and non-employee resources should be aware that all such documents, materials or software created or processed in the course of their engagement with TfGM remains the property of TfGM. Such information should not be shared with any outside person or organisation, unless as authorised in the performance of duties.

The full suite of IS policies and procedures are the [IS Acceptable Use Policy](#), the [IS Access Control Policy](#), the [IS Asset Management Policy](#), the [IS Classification Policy](#), the [IS](#)





[Compliance Policy](#), the [Data Protection Policy](#), the [IS Disaster Recovery and Security Incident Response Policy](#), the [IS Electronic Communications Policy](#), the [IS E-Mail Policy](#), the [IS Incident and Response Policy](#), the [Information Security Policy](#), the [IS Management and Control of Mobile Communications Equipment Policy](#), the [IS Mobile Device Usage Policy](#), the [Mobile Communications Policy](#), the [IS Operations Policy](#), the [IS Physical Security Policy](#), the [IS Security Audit Policy](#), the [Security Incident Response Plan V.8](#), the [IS Technology Usage Policy](#), the [IS Virtual Private Network Policy](#), the [IS Virus and Anti-Virus Policy](#) and the [IS Wireless Access Policy](#).

## 9. Information Security and Data Protection

### Information Security

**Applies to: E and N-ER**

Employee and non-employee resources are required to familiarise themselves with, and adhere to, TfGM's policies relating to Data Security, Data Protection and Payment Card Industry Data Security Standard (PCI DSS).

Employee and non-employee resources are strictly prohibited from:

- ✓ Sharing confidential information about TfGM, its business, or any employees, clients and customers (except as authorised in the performance of duties)
- ✓ Using information obtained during the course of employment for personal gain or benefit or passing information on to a third party who may use it in such a way.

Employee and non-employee resources should familiarise themselves with, and adhere to, any local provisions relating to the maintenance of information. Further detail is contained within the [Information Security Policy](#), the [IS Security Audit Policy](#), the [IS Classification Policy](#) and the [IS Physical Security Policy](#).

Any security breaches relating to the loss, theft, damage or unauthorized disclosure of confidential or personal data should be reported to Serviceline immediately. Further detail is contained in the IS Incident and Response Policy with reference to the [Security Incident Response Plan V.8](#).

All employee and non-employee resources must complete training in Data Protection, at least, once every two years.

If employee or non-employee resources have concerns about malpractice, illegal acts or omissions relating to Information Security on the part of an employee, contractor or third party at work, they should refer their concerns to their line manager, a member of the HR team or a trade union representative for further consideration under the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).



## **Data Protection**

**Applies to: E and N-ER**

Employee and non-employee resources have a duty to maintain appropriate standards of data protection in terms of the use, processing and storage of information.

The Data Protection Act 1988 provides for the protection of any information by which any living person can be identified. All employee and non-employee resources are obliged to comply with the provisions of the Act, and should familiarise themselves with these and the requirements of TfGM's Data Protection Policy.

Further detail is contained in the [Data Protection Policy](#).

## **10. Anti Bribery and Corruption**

**Applies to: E and N-ER**

TfGM is committed to maintaining high standards of conduct and behaviour for all its employees, non-employee resources and for individuals and organisations who conduct business with TfGM in delivering its services and the management of its resources and assets, as epitomised in the [Nolan Principles of Public Life](#).

TfGM adopts a 'Zero Tolerance' approach to bribery and corruption.

Any act of bribery which is defined as "the giving or receiving of a financial or other advantage in connection with the 'improper performance' of a position of trust, or a function that is expected to be performed impartially or in good faith" or corruption which can be defined as "the offering, giving, soliciting or acceptance of an inducement or reward, which may influence the action of any person" will not be tolerated.

Where bribery or corruption is detected or suspected, TfGM will investigate the matter and, if proven, will take appropriate disciplinary/legal action against the person(s) concerned.

Further detail is contained in the [Anti Bribery and Corruption Policy](#).

All employee, non-employee resources and third parties are encouraged to report any suspicion of bribery or corruption to management without fear of reprisal or intimidation, and with the understanding that it will be treated in the strictest confidence and in accordance with the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).



## 11. Anti Fraud

**Applies to: E and N-ER**

TfGM is committed to maintaining high standards of conduct and behaviour for all its employees, non-employee resources and for individuals and organisations who conduct business with TfGM in delivering its services and the management of its resources and assets, as epitomised in the [Nolan Principles of Public Life](#).

TfGM adopts a 'Zero Tolerance' approach to fraud.

Any act of fraud will not be tolerated. The general offence of fraud and the ways of committing are as follows:

- ✓ By false representation where a person makes a representation that is intentionally and dishonestly made, knowing that it is, or might be, untrue or misleading with intent to make a gain for him/herself or another, to cause loss to another or to expose another to risk of loss;
- ✓ By failing to disclose information where a person fails to disclose information to another person when he/she is under a legal duty to disclose that information honestly, intending by that failure to make a gain or cause a loss; and
- ✓ By abuse of position where a person occupies a position in which he/she is expected to safeguard or not to act against, the financial interests of another person and abuses that position dishonestly intending by that abuse to make a gain, or cause a loss (the abuse may consist of an omission rather than an act).

Where fraud is detected or suspected, TfGM will investigate the matter and, if proven, will take appropriate disciplinary/legal action against the person(s) concerned.

Further detail is contained in the [Anti Fraud Policy Statement](#).

All employee, non-employee resources and third parties are encouraged to report any suspicion of fraud to management without fear of reprisal or intimidation and with the understanding that it will be treated in the strictest confidence and in accordance with the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).

## 12. Anti Money Laundering

**Applies to: E and N-ER**

TfGM is committed to maintaining high standards of conduct and behaviour for all its employees, non-employee resources and for individuals and organisations who conduct business with TfGM in delivering its services and the management of its resources and assets, as epitomised in the [Nolan Principles of Public Life](#).



TfGM adopts a 'Zero Tolerance' approach to money laundering.

Any act of money laundering which is a term used to describe a number of offences that involve 'dirty money' (i.e. the proceeds of a crime) being brought into the open market, the aim being to legitimise the possession of such monies through circulating the 'dirty money' and receiving 'clean funds' in return will not be tolerated.

Where money laundering is detected or suspected, TfGM will investigate the matter and, if proven, will take appropriate disciplinary/legal action against the person(s) concerned.

All employee, non-employee resources and third parties are encouraged to report any suspicion of money laundering to management without fear of reprisal or intimidation and with the understanding that it will be treated in the strictest confidence and in accordance with the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).

Further detail is contained in the [Anti Money Laundering Policy](#).

### 13. Recovery of Assets and Sanctions

**Applies to: E and N-ER**

TfGM is committed to maintaining high standards of conduct and behaviour for all its employees, non-employee resources and for individuals and organisations who conduct business with TfGM in delivering its services and the management of its resources and assets, as epitomised in the [Nolan Principles of Public Life](#).

TfGM will take all appropriate action against any employee, non-employee resource or third party to ensure that assets that have been misappropriated through fraud will be replaced at their full replacement value.

Asset misappropriation fraud could include the following (this is not an exhaustive list):

- ✓ Embezzlement, where accounts have been manipulated or false invoices have been created
- ✓ Deception by employees
- ✓ False expense claims
- ✓ Payroll fraud, where payments have been diverted or fictitious 'ghost' employees have been created or false employee payment records have been created
- ✓ Cash and physical assets
- ✓ Data or intellectual property.



TfGM will recover misappropriated funds from employees through a salary deduction and will take appropriate disciplinary/legal action against the person(s) concerned. With respect to contractors and third parties found to have misappropriated funds, TfGM retains the right to terminate contracts and to take whatever steps it deems necessary to protect TfGM's interests.

Further detail is contained in the [Recovery of Assets and Sanctions Policy](#).

#### 14. Whistleblowing (Confidential Reporting)

**Applies to: E and N-ER**

TfGM is committed to maintaining high standards of conduct and behaviour for all its employees, non-employee resources and for individuals and organisations who conduct business with TfGM in delivering its services and the management of its resources and assets, as epitomised in the [Nolan Principles of Public Life](#).

Whistleblowing refers to the disclosure, either internally or externally by an employee, non-employee resource or third party of malpractice, illegal acts and omissions of responsibility in the workplace by employees, non-employee resources or third parties.

The Whistleblowing procedure provides:

- ✓ a mechanism that allow employees, non-employee resources or third parties to report instances of malpractice, illegal acts or omissions of responsibility on the part of an employee, non-employee resource or third party at work
- ✓ the protection of employees, non-employee resources or third parties from recriminations when they raise genuine concerns about malpractice, illegal acts or omissions of responsibility on the part of an employee, non-employee resource or a third party at work.

Employee and agency workers should raise concerns with their line manager, a HR team member, or a trade union representative (if applicable), in the first instance. In circumstances where employees or agency workers feel unable to do so, the concern should be raised with the Head of Audit and Assurance. Contractors and third parties should raise concerns with the Head of Audit and Assurance.

All complaints made under the provisions will be thoroughly investigated and, if proven, will take appropriate disciplinary/legal action against the person(s) concerned.

Further detail is contained in the [Whistleblowing \(Confidential Reporting\) Policy and Procedure](#).



## 15. Compliance with 'The Code'

**Applies to: *E and N-ER***

### **Failure to Comply**

Failure to comply with any of the provisions included in 'The Code' may result in disciplinary action being taken against employees. Some breaches are regarded as criminal offences and will invoke legal action against employee and non-employee resources.



## Document version control

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