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ASCI Code of Ethics

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1 INTRODUCTION

The Australasian Supply Chain Institute (**ASCI**) facilitates and enables the development and professionalism in the Australasian Supply Chain Industries.

As a professional body, ASCI has a duty to provide guidance to its stakeholders and members on the standards of behaviour and ethical conduct with respect to membership in ASCI. Members are obliged to comply with the Code of Ethics (the **Code**) prescribed by ASCI to uphold the integrity of the profession, the industry and ASCI as a whole.

Professional standing requires a level of conduct that adds value to the organisations which employ our services and to the society we serve. The global dimensions of the supply chain industry create the potential situation where the practices in one jurisdiction may not be acceptable or recognised in another. Should there be a potential conflict for a member between applicable codes of conduct, it is suggested that the appropriate authority of the employing organisation be contacted for advice. If a member is not able to resolve an ethical issue in accordance with the Code, the member should seek legal advice as to any legal rights and obligations the member may have.

The expectations of society for professional behaviour and conduct evolve as collective values change. Members should be guided not only by the terms of the Code but by the implicit expectations of conduct becoming a professional.

One of the means for professionals to support a strong ethical commitment is to continue to adopt best practices in the supply management field. It is incumbent upon ASCI members to maintain their credentials in order to sustain the trust and confidence placed on them by others to represent their interests.

The professional conduct of an individual member is important as that conduct reflects on ASCI, its stakeholders and all members. As business issues change, ASCI will amend the Code where it is deemed appropriate to reflect the highest standards of professional conduct. ASCI has committed to ensuring that the Code is reviewed at a minimum of every five (5) years.

1.1 Purpose

This ASCI Code of Ethics sets out what the clients, employers and sponsors can expect from an ASCI Member, in either a supply chain industry, training or supervisory relationship and should form the starting point for any contract agreed.

All members of ASCI accept the principles and aims of the Code. We recognise that members may not always maintain these ethical principles. ASCI have therefore agreed a process by which breaches of the Code by a member can be reported and investigated. This process is contained in a document named: "ASCI Complaints and Disciplinary System".

All Members will make their employers, clients and sponsoring organisations aware, at the engagement/contracting stage, of the existence of the Code.

1.2 Terminology

The following terms apply in this document

- a. **Client** means anyone using the services of a supply chain manager. Client may be interchanged with any other term that the parties to the supply chain industry relationship, might be more comfortable with;
- b. **Ethics Committee** means a subcommittee of the Board set up to create the applicable Confidential Ethics Complaint Reporting procedures, and ethics advisory structures, review requests for advisory opinions; and review ethics complaints and make recommendations to the Board.
- c. **Sponsor** means the organisation who may have commissioned the supply chain manager;
- d. **Supply chain industry** means parties and infrastructure that participate in the supply chain, manufacturing, operations management, transport, logistics and distribution, procurement and purchasing, and related services. This includes all types of management and decision making across the supply chain spectrum that a member has responsibility for, both in the work environment and outside.

2 ASCI CODE OF ETHICS

2.1 Standards of Conduct

Members will conduct themselves in a manner that a reasonable and informed third party would conclude as being appropriate to a professional in supply chain industry.

2.1.1 Avoidance of conflicts of interest

Members should exercise professional judgment and discretion in order to avoid any potential or actual conflict of interest when performing their duties. Should a conflict of interest arise, the member is required to disclose their interests to their employer and/or other impacted parties as soon as possible. Members should consider removing themselves from any decisions in which they have a conflict of interest until express direction from the appropriate authority is obtained.

2.1.2 Protection of confidential or sensitive information

Where a member has been privy to confidential or sensitive information, it is their responsibility to ensure that it remains confidential. Such information must not be used for any personal gain or advantage. Information given in the course of a member's professional activity should be forthright and not intended to mislead or deceive others.

2.1.3 Business relationships

Members should maintain relationships with suppliers and third parties in a manner that contributes to and promotes fair competition in the market and protects the interests and reputation of his or her employer. Members should not use their position to garner personal favours or advantages.

2.1.4 Gifts, gratuities, and hospitality inducements

When permitted by employing organisations, members must ensure that the objectivity of their decisions is not compromised or unduly influenced by the acceptance of gifts, gratuities, or hospitalities of any kind. Members should be discerning in their business and social relationships and activities and, through them, seek to enhance the integrity of the profession.

2.1.5 Environmental and social responsibilities

Members shall exercise their responsibilities in a manner that promotes and provides opportunities for the protection and preservation of the environment. Members shall favour the use and distribution of resources in an efficient, effective, and ethical manner. Members will also be cognisant of the social rights extended to all people, including the any relevant legislation or international conventions with respect to labour standards, and will encourage and support supplier diversity. These attributes of sustainability should guide members in their decisions, and in implementing the policies and values of the organizations they represent.

2.2 Professional Principles

Members will perform their roles and duties based on the following principles of professional practice:

2.2.1 Professional competency

To maintain their professional competency by staying informed of, and complying with, the best supply chain industry practices to retain their professional certification in good standing.

2.2.2 Professionalism

To provide professional advice to their employer or any other impacted party to the best of their knowledge, recognising that any final decision is the prerogative of the senior authority within the employing organization; to act with courtesy and due consideration in dealings with other professional members and in all business relationships.

2.2.3 Honesty and integrity

To maintain an unimpeachable standard of integrity and honesty in all their business relationships both inside and outside the organisations in which they are employed.

2.2.4 Responsible management

To optimise, without prejudice, the use of resources for which they are responsible to provide the maximum value as defined by the organisations they represent.

2.2.5 Serving the public good

To use their position to advance the interests and well-being of society; to denounce all forms of business practice which may compromise value or bring discredit to the organisation and/or society.

2.2.6 Compliance with legal obligations

To be aware of and comply with:

- a) all laws, regulations, by-laws and standards that are relevant to supply chain industry practices, including but not limited to the *Corporations Act 2001* (Cth) and *Consumer and Competition Act 2010* (Cth);
- b) the Members' rules and regulations, and if a company, its constitution and other governing documentation; and
- c) contractual obligations that apply to the member or the member's employer, together with any competition compliance guides published by ASCI.

Members must not engage in or condone any activity or attempt to circumvent the clear intention of the law.

2.2.7 Internal Policies and By-laws

In the event that the provisions in this policy do not align with an Institution's internal policies or by-laws, the latter will take precedence.

2.3 Member Compliance

For the Code to be effective, the member's employer, being an Institution or Corporation, ASCI and all members/associates (for clarity referred to as Members for the balance of the document) must be committed to strong governance and compliance procedures. The professional conduct of an individual member is important as that conduct reflects on Members.

2.3.1 Interpretation

When in doubt on the interpretation of the Code, members should refer to their Institution or Corporation ASCI Ethics Review Panel or other formal review structure as established within the policies/procedures of each Institution or Corporation. For clarity, this review structure will be referred to as simply ASCI Ethics Review Panel for the balance of the document.

2.3.2 Disciplinary Action

A member shall be subject to disciplinary action through the member's Institution or Corporation.

2.3.3 Membership obtained through Misrepresentation

- a) A member shall not obtain admission to membership by means of misrepresentation or other irregularity;
- b) A member shall not misrepresent his or her professional designations or education credentials; and
- c) A member shall notify the most senior staff officer or most senior volunteer of the relevant Institution or Corporation (Institution/Corporation Officer) of his or her Institution or Corporation immediately should they have knowledge regarding a person who has obtained membership by means of fraud or other irregularity.

2.3.4 Admission to Membership

A member shall report to the Officer of his or her Institution/Corporation a fact known to that member sufficient to affect the admittance of any person whose admission, readmission, or reinstatement may be detrimental to ASCI and or his or her Institution/Corporation.

2.3.5 Detrimental Actions

- A member shall not knowingly participate in any action that is detrimental to his or her Institution or Corporation, or to ASCI or the profession; and
- A member shall report to the Officer of his or her Institution /Corporation any situation of which the member has sufficient personal knowledge and that the member thinks may be detrimental to his or her Institution or Corporation, or to ASCI or the profession.

2.3.6 Evidence of Professional Misconduct

A member who has been found guilty of any criminal or similar offence which may cast doubt as to that member's honesty, integrity or professional competence, or has been expelled/suspended from membership

in another professional association, shall promptly inform his or her Institution or Corporation of the conviction, expulsion or suspension, finding of guilt or discharge, as the case may be, when any right of appeal has been exhausted or expired in order for ASCI to assess whether there is a concern related to the Code. A certificate of conviction by any competent court shall be sufficient evidence of the conviction and the perpetration of the offence.

Criminal or similar offences includes, but is not limited to, the following offences:

- a) fraud, theft or forgery;
- b) violation of the provisions of any provincial or federal supply chain industry legislation; or
- c) any criminal or similar offence for conduct in, or related to, the member's professional capacity or for conduct in circumstances where there was reliance on his or her membership in his or her Institution or Corporation.

2.3.7 Requirement to Reply in Writing

A member shall reply promptly in writing to any request from the Institution/Corporation Officer in which a written reply is specifically required on matters pertaining to the Code.

2.3.8 Assistance to the Board

A member shall comply with the request of his or her Institution or Corporation in the exercise of its duties in matters relating to the Code and, when required, produce any documents in the member's possession, custody or control unless such documentation is protected by privacy legislation.