



# Code of Conduct in relation to FIRN activities

## 1 Preamble and context

- (1) This document contains statements in relation to the FIRN code of conduct and ethics. FIRN's members are university institutions, rather than individuals. As such, FIRN cannot "expel" an individual from FIRN. However, FIRN can, where appropriate, limit an individual's access to FIRN-related events and activities.
- (2) This code of conduct specifically pertains to actions at, or in relation to, FIRN events. The appropriate body for conduct elsewhere is the university disciplinary body.

## 2 Proscribed conduct

- (1) Discrimination
  - (a) Individuals must not discriminate against people on the basis of any characteristic defined in the Fair Work Act 2009 (Cth) Section 351(1).
  - (b) Discrimination includes any adverse action.
    - (i) Adverse actions can include omitting an individual due to the characteristics stated in (a).
    - (ii) Adverse actions include actions noted in Fair Work Act 2009 (Cth) Section 342.
  - (c) Discrimination does not include engaging in actions to assist groups so as to encourage equality.
- (2) Abuse of Power
  - (a) A member of the FIRN executive, FIRN board, or FIRN governing council must not use their position to (i) solicit a pecuniary or non-pecuniary benefit for themselves or for others, where (ii) such a solicitation adversely affects FIRN's actions, operations, events, or reputation.
  - (b) It is a violation whether the individual succeeds in extracting such a benefit.
  - (c) It is not a violation to inform people of their position on the FIRN executive, FIRN board, or FIRN governing council, and to accurately describe their role.
- (3) Harassment and bullying
  - (a) Individuals must not engage in harassment at or in connection with FIRN activities.
  - (b) Harassment is defined as follows
    - (i) Harassment is conduct classified as discrimination or abuse of power, where:
    - (ii) the conduct is severe enough, or pervasive enough, that a reasonable person would consider it abusive, intimidating, or hostile.
    - (iii) The person in question knew that the other person found the conduct abusive, intimidating, or hostile.
- (4) Sexual Harassment

- (a) Individuals must not engage in sexual harassment at or in connection with FIRN activities
  - (b) Sexual harassment includes all conduct defined as sexual harassment in the individual's member university, in addition to sexual solicitation, physical advances, verbal and non-verbal conduct of a sexual nature, and unwelcome sexual advances where the individual either knew – or a reasonable person would have known – that such advances were unwelcome.
- (5) Adverse findings by other organizations
- (a) Adverse findings against an individual could be grounds for action if the subject conduct falls into categories (1)-(4) above and could adversely affect FIRN's events, activities, or standing.
  - (b) If there are adverse findings against the individual, the member institution should bring those to FIRN's attention.
  - (c) When evaluating adverse findings, FIRN will have regard to any punishment already dispensed, any rehabilitation shown following that punishment, and the nature and severity of the conduct.
- (6) Plagiarism
- (a) In publications, presentations, teaching, practice, and service, financial economists should explicitly identify, credit, and reference the author when they take data or material verbatim from another person's written work, whether it is published, unpublished, or electronically available, and acknowledge and reference the use of others' work, even if the work is not quoted verbatim or paraphrased, and they should not present others' work as their own.
  - (b) They should report cases of plagiarism to the appropriate organizations such as journals or publishers.
- (7) Authorship Credit
- (a) Financial economists should take responsibility and credit only for work they have actually performed and to which they have contributed. They should ensure that authorship and other publication credits are based on the scientific or professional contributions of the individuals involved, regardless of their professional status. Examples include but do not exclusively apply to:
    - i. Financial economists should not pressure their junior colleagues or advisees to be added to a paper as a co-author or to be listed as a lead author.
    - ii. Financial economists should not add their names to research projects, without making an appropriate contribution, even if invited by other authors (who may, for example, think that adding a senior scholar's name would improve the publication prospects of a paper).
    - iii. Contributions of all co-authors should be noted when a subset of the authorship team is presenting or disseminating the work.

### **3 Consequences**

- (1) The FIRN board will determine if there has been a violation of This Code.
- (2) If there is a violation, the FIRN board will report the relevant proscribed conduct to the individual's department head at their member institution. If the individual is the department head, the individual will be reported to the Dean or to the individual's immediate superior.

- (3) The board may impose additional sanctions against the individual. These can include<sup>1</sup>
  - (a) Exclusion from future FIRN events and /or Inability to present at, or attend, FIRN events. Any such exclusion could be for any length of time. FIRN may require the individual to apply for / justify why they should be allowed to attend FIRN events.
  - (b) Suspension from participating in FIRN activities until a disciplinary review by departmental, university, or professional bodies.
- (4) When considering what action to take, FIRN will have regard all relevant factors, which can include:
  - (a) The nature and severity of the conduct,
  - (b) Whether the conduct was intentional, reckless, or negligent,
  - (c) Remorse shown,
  - (d) Whether there is a pattern of prior conduct, and when that conduct occurred
  - (e) Any prior punishments received (i.e., from a university) in relation to the specific conduct under investigation.
  - (f) Any prior punishments received by other organizations in relation to other conduct violations
  - (g) Whether there is evidence of rehabilitation following the proscribed conduct.

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<sup>1</sup> FIRN's members are universities, rather than individuals. Therefore, FIRN does not have the technical ability to expel individuals from universities.