



## UNIVERSITY POLICY

### ETHICS AND RECORDS POLICIES

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**Number: 601**

**Subject: Code of Ethical Conduct Policy**

**Covered Individuals: Faculty, Staff and Administration, and Board of Trustees**

**Covered Campus Locations: All Locations**

**Effective Date: May 8, 2017**

**Last Revision: November 7, 2018**

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#### STATEMENT

Upper Iowa University wholly embraces high ethical standards. Faculty, staff, administration, and Board of Trustees must understand what these ethical standards are and be aware of the mandate to follow them. It is also necessary to then define what happens should our ethical code be broken. It is not the purpose of this Code of Ethical Conduct Policy to address every situation, but merely to make stakeholders aware of the general scope and application of the ethical standards that govern our conduct.

#### PURPOSE & SCOPE

The following statements represent Upper Iowa University's Scope and Purpose with regard to our Code of Ethical Conduct:

- **Scope:** This Code of Ethical Conduct Policy applies to all University faculty, staff, administration, and Board of Trustees.
- **Purpose:** As members of the University community it is our collective responsibility to adopt and comply with ethical standards that go beyond the minimum requirement established by law.

#### POLICY

In addition to the University's Core Values as established and defined in the Destination 2022 Strategic Plan, University personnel will commit to acting in accordance with standards including, but not limited to, the following:

- **Honesty:** We must be honest and trustworthy, actively deciding between right and wrong. We honor our commitments and never condone any form of dishonesty, such as fraud, theft or cheating. We are accountable to the University

Community through transparent business practices and communication and we understand that all actions are subject to consequences.

- **Responsibility:** We utilize University resources in a responsible manner, in the best interest of the University, and consistent with this Code of Ethical Conduct. Reasonable judgment and fiduciary accountability must be exercised when utilizing University resources, which are never to be used for personal gain.
- **Confidentiality:** We maintain confidentiality regarding all academic, financial, health-related, personnel, or other non-public information protected either by law or by University policy.
- **Conflict of Interest:** We avoid situations that might compromise objective professional judgment.
- **Legal Compliance:** We will comply with all legal requirements, both domestic and international, which apply to Upper Iowa University.

## ENFORCEMENT

University faculty, staff, and administration, and Board of Trustees must, in good faith, interpret the Code of Ethical Conduct to determine what is expected of them. If employees are uncertain regarding expectations, they should seek clarification from the Director of Human Resources. By agreeing to membership in the University community, an individual agrees to the Code of Ethical Conduct and understands that breaching the Code may result in disciplinary action up to and including termination of employment.

When an employee believes the Code of Ethical Conduct Policy has been violated or may be violated, the employee is obligated to report the matter to the Director of Human Resources. If an investigation is warranted, the Director of Human Resources or his or her designee will investigate.

Another reporting option is Lighthouse reporting, which may be anonymous. Lighthouse may be reached on their website, which is [www.lighthouse-services.com/uiu](http://www.lighthouse-services.com/uiu), by phone at (833) 350-0022, or by email at [reports@lighthouse-services.com](mailto:reports@lighthouse-services.com) (UIU must be identified in the email). This report may be filed on an anonymous basis, but because investigators are unable to interview anonymous whistleblowers, it may be more difficult to evaluate the credibility of the allegations and, therefore, less likely to permit an investigation to be initiated, continued or successfully completed.

No individual who, in good faith, reports unethical or fraudulent behavior and/or violation of law or University policy shall suffer harassment, retaliation or adverse employment, and/or academic or educational consequences on the basis of that good faith report.

Individuals who knowingly give false or misleading information or make a false report of violation, are not entitled to the protections of this policy, and shall be subject to appropriate disciplinary action.

## **OVERSIGHT**

- By following this Code of Ethical Conduct Policy, University employees demonstrate their interest in sustaining an institutional identity that is committed to the advancement of knowledge and continuous improvement while providing quality education. All University personnel are responsible for upholding the Code and reporting violations.
- When a matter that could result in disciplinary action pertains to scholarship, service or teaching, the Director of Human Resources and the Human Capital Committee of the Board shall consult with and afford considerable deference to the tenured members of the faculty member's School prior to making the final decision.
- The Director of Human Resources is responsible for providing training and education, as needed, regarding the Code of Ethical Conduct Policy to the University community.

## **SANCTIONS**

N/A

## **HISTORY**

- May 8, 2017
  - Recommended by University Policy Committee
- May 31, 2017
  - Approved by President's Council
- June 22, 2017
  - Approved by Board of Trustees
- October 2, 2017
  - Revisions made to policy and recommended by University Policy Committee
- October 11, 2017
  - Approved by President's Council
- October 26, 2017
  - Approved by Board of Trustees
- November 5, 2018
  - Revisions made to policy and recommended by University Policy Committee
- November 7, 2018
  - Revisions approved by President's Council