



UNIVERSITY POLICY

ETHICS AND RECORDS POLICIES

Number: 601

Subject: Code of Ethical Conduct Policy

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

Covered Campus Locations: All Locations

Date of Origin: May 8, 2017

Last Revision: October 2, 2017

POLICY 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 employees 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, 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 a University personnel believes the Code of Ethical Conduct Policy has been violated or may be violated, the University personnel 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.

REFERENCES/BENCHMARKING

N/A

OVERSIGHT

- By following this Code of Ethical Conduct Policy, the University personnel 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