



UNIVERSITY POLICY

ETHICS AND RECORDS POLICIES

Number: 601

Subject: Code of Ethical Conduct Policy

Covered Individuals: Faculty, Staff, Administrators, and Trustees

Covered Campus Locations: All Locations

Effective Date: May 8, 2017

Last Revision: January 27, 2021

STATEMENT

Upper Iowa University (UIU or University) wholly embraces high ethical standards. Faculty, staff, administrators, and Board of Trustees members 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 UIU'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, administrators, and 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

University personnel commit to acting in accordance with the following ethical standards:

- **Integrity:** We are fair, transparent, and accountable in our policies, procedures, practices, and interactions. We conduct ourselves ethically, honestly, and with integrity in our work for and oversight of the University.

- **Respect:** We are a community with a culture of collegiality, in which the ideas and perspectives of others are accepted. Individuals are empowered through collaboration, honesty, and open communication. We are committed to the principle of treating each community member with respect and dignity. We prohibit discrimination and harassment and provide equal opportunities for all community members and applicants regardless of protected class.
- **Stewardship:** We have a collective responsibility to foster an environment that both honors our heritage and sustains our University into the future. We must protect the University's assets and ensure their proper and efficient use. Our obligation to protect the University's assets includes, but is not limited to, its proprietary information, which includes intellectual property, business plans, data bases, records, employment information, and any unpublished financial data and reports.
- **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 or Commitment:** We who are employee members of the University community are expected to fulfill our professional responsibilities to the University and to its mission of teaching and learning. We avoid situations that might compromise objective professional judgment. We are expected to disclose possible conflicts in compliance with UIU's conflict of interest/conflict of commitment policy, with which we shall make ourselves familiar.
- **Compliance with Laws, Rules, and Regulations:** We must comply with all applicable laws, rules, and regulations, both domestic and international, which apply to UIU.

ENFORCEMENT

University faculty, staff, administrators, and 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 Vice President

for Human Resources (VPHR). 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 VPHR. If an investigation is warranted, the VPHR or his or her designee will investigate.

Another reporting option is Lighthouse reporting, which may be anonymous. Lighthouse may be reached on its website, which is www.lighthouse-services.com/uiu, by phone at (833) 350-0022, or by email at 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 allow 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, adverse employment consequences, and/or academic or educational consequences on the basis of that good faith report. However, individuals who knowingly give false or misleading information or make a false report of a 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 a staff member or administrator, the Staff and Administrators Handbook will govern the handling of the matter. When a matter that could result in disciplinary action pertains to a faculty member, the Faculty Handbook will govern the handling of the matter for full-time faculty, and the handbook applicable to adjunct faculty will do the same for adjunct faculty, if it exists at the time. If it does not yet exist, the handling of the matter will be governed by the ethical standards delineated in this policy and relevant University policy and procedure as agreed to by the VPHR and the Vice President for Academic and Student Affairs (VPASA). When the matter involves scholarship, service or teaching by any faculty member, the VPHR and academic administration, including the VPASA and the relevant Dean, shall consult with and afford considerable deference to the tenured members of the faculty member's School prior to making the final decision.

- The VPHR and the Compliance Coordinator are responsible for providing training and education, as needed, regarding the Code of Ethical Conduct Policy, to the University community.

RULES, PROCEDURES, GUIDELINES, FORMS, AND OTHER RELATED RESOURCES

[Conflict of Interest/Conflict of Commitment Policy](#)
[Faculty Handbook](#) (Under Handouts Section, must be logged into myUIU)

SANCTIONS

Employees who are found in violation of the University’s Code of Ethical Conduct may be subject to disciplinary action up to suspension or termination for faculty, staff, and administrators consistent with their respective handbooks, and removal from the Board for trustees consistent with the University Bylaws. For violations of applicable laws, individuals may also face criminal and civil penalties, including monetary penalties.

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 30, 2020 -- Revisions made to policy and recommended by University Policy Committee
- December 9, 2020 – Additional revisions requested by Faculty Senate
- January 11, 2021 – Revisions made to policy and recommended by University Policy Committee
- January 20, 2021 – Revised policy recommended by Faculty Senate
- January 27, 2021 – Recommended by President’s Council and approved by the President