



## *Standards of Ethical Conduct* (“Standards”)

### **Applicability**

The *Standards of Ethical Conduct* (“Standards”) enumerate University (UToledo) principles of general conduct and apply to all members of the UToledo community, including the Board of Trustees, faculty and other academic personnel, staff, students, volunteers, contractors, agents and others associated with UToledo. These *Standards* are supported by specific UToledo policies. The [UToledo policy website](#) must be referenced for detailed information on policies and procedures. It is the responsibility of each UToledo community member to learn and adhere to the policies that govern applicable areas.

### **Purpose**

Pursuit of the UToledo mission requires a shared commitment to the core values of UToledo as well as a commitment to the ethical conduct of all UToledo activities. As members of the UToledo community, all faculty, staff, students, members of the Board of Trustees, UToledo Officers and affiliates are responsible for sustaining the highest ethical standard of this institution, and of the broader community in which we function. The *Standards* are a statement of our belief in ethical, legal and professional behavior in all our dealings inside and outside UToledo. Its primary purpose is to protect the well-being of the UToledo community and to advance its mission by defining and establishing certain norms of behavior.

The *Standards* promote the environment of respect that is central to the success of UToledo and the individuals who work here. It articulates the principles that govern interactions at UToledo and some of the basic expectations that flow from those principles. The *Standards* do not replace specific interactions that are covered by UToledo policies; rather it provides a framework for them. While the *Standards* do articulate a basic set of expectations it is not meant to be comprehensive.

### **1. Fair Dealing**

Members of the UToledo community are expected to conduct themselves ethically, honestly and with integrity in all dealings. This means that each situation needs to be examined in accordance with the principles of fairness, good faith and respect consistent with laws, regulations, the *Standards*, and UToledo policies that govern our conduct with others both inside and outside the community. No unlawful practice or a practice at odds with these standards can be justified based on customary practice, expediency, or achieving a “higher” purpose.

### **2. Individual Responsibility and Accountability**

Members of the UToledo community are expected to exercise responsibility appropriate to their position and delegated authorities. They are responsible to each other, UToledo and UToledo stakeholders both for their actions and their decision not to act. Everyone is expected to conduct the business of UToledo in accordance with the *Standards*, applicable laws and regulations and UToledo policies and procedures, conducting themselves fairly, honestly, in good faith, exercising sound judgment and serving the best interests of the institution and the community.



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### **3. Respect for Others**

Members of the UToledo community are the most important resource for accomplishing its teaching, research, and service responsibilities. All members of the community are expected to be committed to creating an environment that promotes academic freedom, diversity, fair treatment, dignity, and respect for others. At the same time, we strive to be a place where individuals and groups learn with and from each other. We aim to foster a sense of shared experience and common purpose, along with a collective responsibility for each other's well-being and for the well-being of UToledo. Two primary expectations that flow from this Standard are to act with civility and to refrain from abuse of power. [Standards of Conduct](#) policies are established as a guide to meet those expectations.

A positive working environment where everyone can receive respect and do their best work requires a respect and tolerance for difference and diversity. UToledo prohibits [discrimination and harassment](#) and provides equal opportunities for all community members and applicants regardless of race, color, national origin, religion, sex, gender identity, pregnancy, physical or mental disability, medical condition (cancer-related or genetic characteristics), ancestry, marital status, age, sexual orientation, citizenship, or status as a covered veteran.

The UToledo health science campus, including the UToledo Medical Center, are committed to the ethical and compassionate treatment of patients and have established policies and statements of [patient rights](#) in support of this principle.

### **4. Compliance with Applicable Laws and Regulations**

Institutions of higher education are subject to many of the same laws and regulations as other enterprises, as well as those particular to public entities. There are also additional requirements unique to higher education. Members of the UToledo community are expected to become familiar with the laws and regulations bearing on their areas of responsibility. Managers and supervisors are responsible for teaching and monitoring compliance. When questions arise pertaining to interpretation or applicability of policy, contact the individual who has oversight of the policy. Because UToledo is a public university, we are all subject to Ohio's Ethics Laws. The Ohio Ethics Law is a criminal statute that sets forth ethical standards for public officials and employees. All members of the UToledo community are expected to become familiar with the Ethics Law, administered by the [Ohio Ethics Commission](#).

Many but not all legal requirements are embodied in [UToledo policies](#). Failure to comply can have serious adverse consequences both for individuals and for UToledo in terms of reputation, finances, and the health and safety of the community. UToledo business is to be conducted in conformance with legal requirements, including contractual commitments undertaken by individuals authorized to bind UToledo to such commitments. Refer all unresolved questions and/or interpretation of the laws and regulations to the [Office of Legal Affairs](#).



## **5. Compliance with Applicable UToledo Policies, Procedures and Other Forms of Guidance**

[UToledo policies](#) and procedures are designed to inform our everyday responsibilities, to set minimum standards and to give UToledo community members notice of expectations. Members of the UToledo community are expected to transact all UToledo business in conformance with policies and procedures and accordingly have an obligation to become familiar with those that bear on their areas of responsibility. Each member is expected to seek clarification on a policy or other UToledo directive if one finds it to be unclear, outdated or at odds with UToledo objectives. It is not acceptable to ignore or disobey policies if one is not in agreement with them, or to avoid compliance by deliberately seeking loopholes.

In some cases, UToledo employees are also governed by ethical codes or standards of their professions or disciplines – some examples are attorneys, auditors, physicians and counseling staff. It is expected that those employees will comply with applicable professional standards in addition to laws and regulations.

## **6. Conflicts of Interest or Commitment**

Objectivity and integrity are essential qualities for employees of a public institution such as UToledo. For UToledo to carry out its missions with unquestioned credibility, employees are expected to maintain the highest levels of integrity and objectivity as they perform their duties. Employees are expected to take all reasonable precautions and seek appropriate guidance to ensure that their outside interests do not place them in conflict with carrying out their duties and responsibilities as UToledo employees. Employees must disclose outside interests in accordance with UToledo policies so that they can be reviewed and managed or eliminated, as appropriate.

All members of the UToledo community are expected to devote primary professional allegiance to UToledo and its mission. Outside employment must not interfere with UToledo duties. Outside professional activities, personal financial interests, or acceptance of benefits from third parties can create actual or perceived conflicts between the UToledo mission and an individual’s private interests. UToledo community members who have certain professional or financial interests are expected to disclose them in compliance with applicable conflict of interest/conflict of commitment policies. In all matters, UToledo community members are expected to take appropriate steps, including consultation if issues are unclear, to avoid both conflicts of interest and the appearance of such conflicts. All members of the UToledo community are expected to become familiar with UToledo [policies](#) as well as the [Ohio Ethics Law](#) as it pertains to conflicts of interest.



## **7. Ethical Conduct of Research**

All members of the UToledo community engaged in [research](#) are expected to conduct their research with integrity and intellectual honesty at all times and with appropriate regard for human and animal subjects. To protect the rights of human subjects, all research involving human subjects is to be reviewed by the [Institutional Review Boards](#). The [Department of Laboratory Animals Resources](#) is responsible to facilitate compliance with all federal, state, and local regulations governing animal utilization in teaching, research, and testing.

UToledo prohibits research misconduct. Members of the UToledo community engaged in research are not to: fabricate data or results; change or knowingly omit data or results to misrepresent results in the research record; or intentionally misappropriate the ideas, writings, research, or findings of others. All those engaged in research are expected to pursue the advancement of knowledge while meeting the highest standards of honesty, accuracy, and objectivity. They are also expected to demonstrate accountability for sponsors’ funds and to comply with specific terms and conditions of contracts and grants.

## **8. Records: Confidentiality/Privacy and Access**

UToledo is the custodian of many types of information, including that which is confidential, proprietary and private. The UToledo [Information Security Policy](#) provides the general framework for protecting confidentiality, integrity and availability of information owned by or entrusted to UToledo. Individuals who receive and generate such information are expected to be familiar and to comply with applicable laws, UToledo policies, directives and agreements pertaining to access, use, storage, transfer, administration/maintenance, protection and disclosure of such information.

UToledo recognizes and values the privacy of the UToledo community members and its guests. UToledo is committed to protecting your privacy and is taking a proactive approach to appropriately manage, secure, and keep private and confidential the personal data entrusted to us. The public right to information access and the individual’s right to privacy are both governed by state and federal law, as well as UToledo policies and procedures. These include but are not limited to: the [Health Insurance Portability and Accountability Act](#), the [Family Educational Rights and Privacy Act](#), and the [General Data Protection Regulation](#). Refer to the [UToledo Policy website](#) for other policies relating to the use of social media, security, confidentiality and [web privacy](#). The legal provisions and the policies are based upon the principle that access to information concerning the conduct of the people’s business is a fundamental and necessary right of every person, as is the right of individuals to privacy.



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### **9. Internal Controls**

Internal controls are the processes employed to help ensure that UToledo business is carried out in accordance with these *Standards*, UToledo policies and procedures, applicable laws and regulations and sound business practices. Internal controls help to promote efficient operations, accurate financial reporting, protection of assets and responsible fiscal management. All members of the UToledo community are responsible for internal controls. Each business unit or department head is specifically responsible for ensuring that internal controls are established and properly documented and maintained for activities within their area of responsibility. Any individual entrusted with funds, including principal investigators, is responsible for ensuring that adequate internal controls exist over the use and accountability of such funds. UToledo has adopted the principles of internal controls published by the [Committee of Sponsoring Organizations of the Treadway Commission](#).

### **10. Use of UToledo Resources**

UToledo resources may only be used for business activities on behalf of UToledo. They may not be used for private gain or personal purposes except in limited circumstances permitted by existing policy where incidental personal use does not conflict with and is reasonable in relation to UToledo duties (e.g., use of telephones). Members of the UToledo community are expected to treat UToledo property with care and to adhere to laws, policies and procedures for the acquisition, use, maintenance, record keeping and disposal of UToledo property. UToledo resources are defined to include, but is not limited to, the following:

- *Cash and other assets whether tangible or intangible; real or personal property;*
- *Receivables and other rights or claim against third parties;*
- *Intellectual property rights;*
- *Effort of UToledo personnel and of any non-UToledo entity billing UToledo for effort;*
- *Facilities and the rights to use UToledo facilities;*
- *The UToledo name*
- *UToledo records, including student and patient records; and,*
- *UToledo information technology infrastructure.*

### **11. Financial Reporting**

All UToledo accounting and financial records, tax reports, expense reports, time sheets and effort reports, and other documents including those submitted to government agencies must be accurate, clear and complete, in accordance with applicable laws, these *Standards*, and [UToledo policies](#). All published financial reports will make full, fair, accurate, timely and understandable disclosures as required under generally accepted accounting principles for government entities, bond covenant agreements and other requirements. Certain individuals with responsibility for the preparation of financial statements and disclosures, or of elements, may be required to make attestations in support of the *Standards*.



## **12. Reporting Violations and Protection from Retaliation**

Adhering to the *Standards* makes all members of the UToledo community responsible for reporting, in good-faith, suspected violations of applicable laws, regulations, standards, or policies. Initially, reporting should be made through standard management channels, beginning with the immediate supervisor, instructor or advisor. Managers and persons in supervisory roles are required to report allegations presented to them and to report suspected activity or conduct that come to their attention in the ordinary course of performing their supervisory duties. If the manager or person in the supervisory role is involved in the questioned conduct, bring it to the attention to the person at the next supervisory level. You may also report and discuss your concerns with a responsible administrative officer in [Human Resources](#), [Institutional Compliance](#), or report the conduct to the [Anonymous Reporting Line](#).

The procedure for [Compliance Incident Reporting](#) is set forth in the policy. Reporting parties, including managers and supervisors, will be protected from retaliation for making such a report under the [Non-retaliation](#) policy. Direct any questions regarding the intent or applicability of this Code to the [Chief Compliance Officer](#) or the [Office of Legal Affairs](#).

At UToledo, disciplinary proceedings have a role that is subordinate to positive guidance, rational admonition and reasonable appeal to members of UToledo to observe its stated norms. That said, confirmed violations will result in appropriate disciplinary action up to and including termination from employment or other relationships with UToledo. In some circumstances, civil and criminal charges and penalties may apply.