

UNIVERSITY OF MISSOURI

# CODE OF CONDUCT

*Our Community, Our Commitment*



# A MESSAGE FROM PRESIDENT MUN CHOI

Dear university community,

I am pleased to introduce our *Code of Conduct - Our Community, Our Commitment*. It is a resource designed to support us in doing all we can to live up to the promise of our mission, vision, and values.

Respect for others, responsibility, discovery, and excellence are the values at the heart of our new Code. These values are not new for us. As a community, they have been our foundation and have enabled us to do great things for our students, patients, the citizens of Missouri, and beyond. When we face challenges, our values help us address them as a community, finding strength through collaboration. We demonstrate a willingness to be open to change and innovation, and we continue to pursue excellence while striving to maintain the highest ethical standards.

At the University of Missouri, we have a proud tradition of service to our students, patients, and the citizens of Missouri. It is our responsibility to honor this tradition as well as evolve to meet the challenges of tomorrow. Our mission, vision, and values can help us meet these challenges, but only if each one of us does our part to ensure that we are guided by the highest ethical principles in our pursuit of excellence.

I urge you to continue your hard work and thank you for your support and encouragement.

Sincerely,



Mun Y. Choi, Ph.D.  
President, University of Missouri



# OUR MISSION, VISION, AND VALUES

## ***Our Mission***

Our distinct mission, as Missouri’s only state-supported member of the Association of American Universities, is to provide all Missourians the benefits of a world-class research university.

We are stewards and builders of a priceless state resource, a unique physical infrastructure and scholarly environment in which our tightly interlocked missions of teaching, research, service, and economic development work together on behalf of all citizens.

Students work side by side with some of the world’s best faculty to advance the arts and humanities, the sciences, and the professions.

Scholarship and teaching are daily driven by commitment to service – the obligation to produce and disseminate knowledge that will improve the quality of life in the state, the nation, and the world.

## ***Our Vision***

Advance the opportunities for success and well-being for Missouri, our nation, and the world through transformative teaching, research, innovation, engagement, and inclusion.

## ***Our Values***

- Respect
- Responsibility
- Discovery
- Excellence



# TABLE OF CONTENTS

## **5. We Understand Our Code**

- 6. Living Our Shared Commitment
- 7. Owning Our Responsibilities
- 9. Making Good Choices
- 10. Raising Concerns
- 14. Being Accountable

## **15. We Embrace Our Responsibility to Others**

- 16. Valuing the Uniqueness of Every Individual
- 18. Providing Equal Opportunity and Safeguarding Against Discrimination
- 20. Supporting a Discrimination- and Harassment-free Work Environment
- 22. Promoting Health, Safety, and Well-being
- 24. Maintaining Work/Life Integration
- 25. Preserving Dignity and Human Rights

## **26. We Conduct University Business with Integrity**

- 27. Promoting Alumni Relations and Fundraising
- 28. Avoiding Conflicts of Interest
- 31. Partnering with Suppliers and Third Parties
- 32. Competing Fairly

## **33. We Build Trust**

- 34. Maintaining Academic Integrity and Research Standards
- 36. Conducting Sponsored Research
- 37. Protecting Confidential Information
- 39. Being a Good Steward of University Resources
- 41. Ensuring Financial Integrity
- 43. Complying with Health Care Requirements

## **44. We Engage with the Communities Where We Live and Work**

- 45. Working with the Community
- 46. Representing the University
- 48. Participating Responsibly in Charitable and Political Activities

## **50. Helpful Resources**

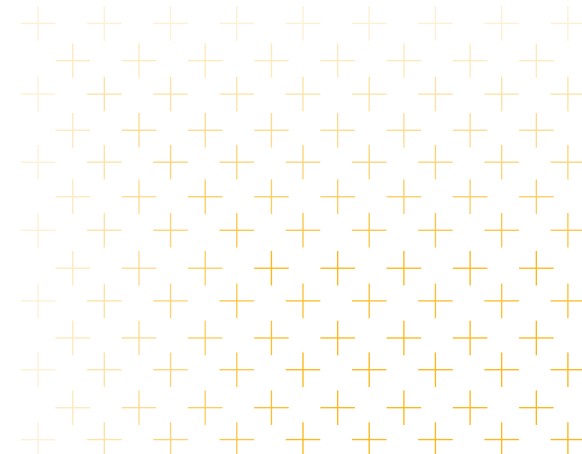


# WE UNDERSTAND OUR CODE

Our combined talents and efforts are needed to “advance the opportunities for success and well-being for Missouri, our nation, and the world through transformative teaching, research, innovation, engagement, and inclusion.”

## ***In This Section:***

- Living Our Shared Commitment
- Owning Our Responsibilities
- Making Good Choices
- Raising Concerns
- Being Accountable



## ***Living Our Shared Commitment***

Welcome to the University of Missouri *Code of Conduct - Our Community, Our Commitment* (“Code”).

Whatever your role or responsibility at the university, you may face a difficult decision or have a question about how best to handle a situation from time to time. In these times, we are fortunate to have resources to turn to for help. At our core, the university mission, vision and values provide a foundation for our actions. We also have university policies and compliance specialists to guide us. And just as importantly, we know we can rely on one another. As a community, we are a living, mission-driven embodiment of our shared commitment.

## **USING OUR CODE**

A code is a shared commitment to one another, our students, alumni, donors, and communities to be our best in academics, research, and business pursuits. Our Code sets our expectations for ethical conduct and serves as a guide to everyday situations we may face. It provides clarity and guidance around expectations related to our regulatory and compliance obligations and for the behaviors we aspire to in creating a culture where we all can do and be our best. This Code does not replace the Collected Rules and Regulations (CRRs) or other internal policies. It is a broader set of standards that informs our intentions to do what is right and meet our regulatory and compliance obligations.

The Code does not address every situation, nor does it summarize every policy and regulation. Links are provided throughout the Code to connect you to additional resources, including more detailed policies and procedures. If you do not find the information you are looking for, talk to your supervisor or contact the *Chief Audit and Compliance Officer*.

## **WHO IS EXPECTED TO FOLLOW OUR CODE?**

All faculty, staff, leaders, and members of the Board of Curators are expected to follow our Code and related policies and procedures.

We also expect anyone acting on behalf of the university to conduct themselves in a manner consistent with our Code and applicable policies.



## ***Owning Our Responsibilities***

We all work together toward the same goal: **to uphold the university mission and achieve excellence in the discovery, dissemination, preservation, and application of knowledge.**

Doing your part to realize this goal means meeting the following responsibilities:

- Be proactive and promote our mission, vision, values, this Code, and our policies, and rely on them to guide your actions.
- Uphold the highest standards of ethical behavior, and do not allow short-term objectives to supersede our values or this Code.
- Take responsibility for your actions and decisions.
- Ask questions and report concerns.
- Work as a team, be inclusive, and treat others with respect.
- Cooperate and respond honestly to any investigation, inspection, or audit.
- Act ethically and professionally in dealing with others, including colleagues, students, and visitors.
- Complete all required compliance training.



## **ADDITIONAL RESPONSIBILITIES FOR SUPERVISORS AND MANAGERS**

If you are a leader or supervisor at the university, know that those in your reporting line look to you for guidance and as a model for appropriate conduct:

- Be an example for others to follow by demonstrating what it means to act with integrity.
- Set clear expectations for your work groups and help others understand their responsibilities.
- Act with fairness, honesty, and respect for the rights of others.
- Be approachable and maintain an environment where others can comfortably ask questions or raise concerns.
- Be consistent when enforcing our standards and holding people accountable.
- Support those who come forward with questions or who report violations. Take a firm stand against retaliation.
- Never ask or pressure anyone to do something you would feel uncomfortable doing or are prohibited from doing yourself.
- Make sure any third parties you supervise also understand our expectations and their obligations.
- Strive to provide an environment where all employees understand the impact their contributions have on the achievement of university goals and are provided the opportunity for ongoing personal growth.

## QUESTION & ANSWER

- Q:** I'm a supervisor. If I observe misconduct in an area not under my supervision, am I still required to report the issue, even if I would rather not get involved?
- A:** All of us are required to report any misconduct that we become aware of, regardless of where it occurs. The best approach in this situation would be to talk first with the leader who oversees the area where the problem is occurring, but if this doesn't work, or isn't feasible, you should use any of the other *Helpful Resources* listed in this Code.

## TO LEARN MORE

### ***Collected Rules and Regulations***

*Section 330.010: Personal Conduct of Employees*

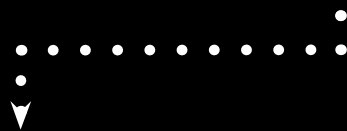
*Section 330.110: Standards of Faculty Conduct*





## Making Good Choices

At times, we all need help to determine the best solution to a problem. If you are faced with a difficult ethics or compliance-related decision, ask yourself:

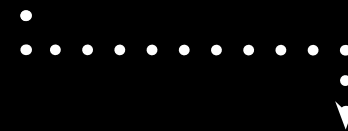


Do I have all the facts to make an informed decision?



Is the decision or action I'm considering consistent with:

- Our mission, vision, and values?
- The spirit and letter of this Code?
- The law and university policies?



Would I be comfortable describing my conduct at a staff meeting? To my family? To the media?

If the answer to any of these questions is “No” or “I’m not sure,” stop and ask for help.

## CLOSING THE LOOP

Once you have made a decision, ask yourself the following additional question:

- Are there clear and sufficient standards, policies, and resources in place to address the type of issue I faced — or should more be done?

If you believe more should be done, contact your supervisor or any of the *Helpful Resources* listed in this Code. Your suggestions will help improve our ethics and compliance efforts.

## ***Raising Concerns***

Everyone must do their part to help us maintain our high standards for ethics and integrity. If you believe that a violation of law, our Code, or policies has occurred, you have an obligation to speak up. Nearly all employees are considered mandated reporters, according to the *Collected Rules and Regulations*, and are required to report all information related to known or suspected discrimination, harassment, or sexual misconduct to the Office for Civil Rights and Title IX (OCR/Title IX).

**When you ask questions or report concerns, you are giving us an opportunity to address problems early and make any needed improvements.**

If you see or suspect a compliance or ethics violation, or if you have a question, you have several available options. In most cases, your immediate supervisor should be your first point of contact. However, if you're uncomfortable speaking with your immediate supervisor, if they are unable to answer your question, or if you have already shared a concern and believe it's not being addressed, consider these options:

- Talk to another university leader.
- Contact the *Chief Audit and Compliance Officer*.
- Contact your *Title IX Coordinator*, or *Chief Human Resources Officer*.
- Contact any of the *Helpful Resources* listed in the Code.



## **USING OUR REPORTING HOTLINE**

As a community, we must actively foster a culture where open, honest, and respectful interactions are the expectation. When you do not feel comfortable speaking to a supervisor or other resource, the [Integrity and Accountability Hotline](#) is available to you. The report will be forwarded to the most appropriate resource for assignment and management.

The [Integrity and Accountability Hotline](#) is a confidential way to report possible violations of the Code or any policies, laws, rules, or regulations. You may use the hotline 24 hours a day, seven days a week, from your work or personal device.

To contact the Integrity and Accountability Hotline, call (844) 469-6383 or visit [EthicsSuite.com/UMSHotline](https://ethicsuite.com/UMSHotline).

The hotline is staffed by third-party ethics and compliance specialists. Translation services are available. When you contact the hotline by phone, the operator will listen, ask questions, and write a summary report. The summary will be provided to the university for assessment and further action.

You may report your concerns to the hotline anonymously. If you do, it is important to provide as many details as possible (e.g., who, what, when, where). Once an investigation begins, additional information may be needed. For this reason, you will be given a reference number, and we ask that you check back on the report frequently, in case we ask you to submit additional details or answer any follow-up questions.

OCR/Title IX reporting is a way to report complaints of discrimination or harassment based on protected categories directly to the Title IX Coordinator. In addition to [online OCR/Title IX reporting](#), you may call (573) 882-3880. Once a report is submitted, depending upon the detail provided, OCR/Title IX staff will reach out to the complainant to discuss rights and options.

Individuals who are considered mandated reporters must report

awareness of any form of discrimination or harassment, including sexual harassment and sexual misconduct, directly to the Title IX Coordinator. Mandated reporters include anyone who has not been expressly granted with a legal obligation or privilege of confidentiality.

## **MAINTAINING CONFIDENTIALITY**

When you contact the hotline via phone, your phone number is not tracked. Reports from your computer come through a secure internet portal that does not trace or show names.

When reporting an incident directly to OCR/Title IX, requests for confidentiality will be weighed and considered as each report is evaluated to determine if an investigation is warranted and, if so, how to proceed.



If you identify yourself, we will do our best to protect your identity. However, we cannot guarantee that your name will not be disclosed during an investigation. In some cases, disclosing the source of information is necessary to conduct a thorough and accurate investigation and follow up with corrective action.

We recognize that some faculty and staff choose not to speak up based on a fear of retaliation. The university prohibits retaliation against anyone reporting a concern in good faith, and anyone engaging in retaliation will be subject to disciplinary action. If you feel you have experienced retaliation for reporting a concern, please contact the [Chief Audit and Compliance Officer](#).



## QUESTION & ANSWER

- Q:** I think I should report a colleague who I believe is violating the Code, but in my experience, our department chair typically does nothing when concerns about potential misconduct are raised. In fact, I believe things have become more difficult for those who have raised issues. What should I do?
- A:** Take action and speak up. While starting with your department chair or director is often the best way to efficiently address concerns, if you do not believe that it is appropriate or do not feel comfortable doing so, you should talk to another member of leadership or any of the [Helpful Resources](#) listed in this Code.
- Q:** What if I am working with a supplier, donor, or other external party on university business who makes comments or behaves toward me in a way that seems inappropriate, or makes me feel uncomfortable or unsafe? Are they obligated to follow our Code and university policies?
- A:** First and foremost, remove yourself immediately from any situation where you feel unsafe. Report your concerns directly to your supervisor or seek guidance from any of the [Helpful Resources](#) listed in this Code. We never want our employees or representatives to feel unsafe, or that they must endure inappropriate comments or bad behavior in the course of university business.
- Q:** What if someone misuses the hotline by making an anonymous call to falsely accuse someone of wrongdoing?
- A:** Hotline reporting for malicious purposes is rare, but it is important to know that anyone who uses the hotline in bad faith to spread falsehoods, threaten others, or with the intent to unjustly damage another person's reputation will be subject to disciplinary action.

## **PROHIBITING RETALIATION**

The university takes claims of retaliation seriously, and anyone found engaging in retaliation will be subject to disciplinary action. Any threat of or attempt to penalize or retaliate against an employee or student for filing a good faith report or participating in the investigation of a good faith report regarding university-related misconduct, will be considered a separate and distinct violation of university policy. If you believe you have been retaliated against for reporting a concern in good faith, you should contact the [Chief Audit and Compliance Officer](#).

### **REPORTING IN 'GOOD FAITH'**

Making a report in “good faith” means that you report truthfully and honestly about the facts and information that led to your concern, regardless of whether the investigation of your report uncovers any actual misconduct.



### **QUESTION & ANSWER**

**Q:** A few months ago, I called the hotline anonymously. I was concerned that my supervisor awarded a contract to a supplier owned by their friend. It was investigated, and I understand some action was taken. Since then, my supervisor and others have stopped speaking to me and copying me on important communications. I am worried this will affect my performance. I believe my colleagues know I made the report and are treating me differently. Is this retaliation? What should I do?

**A:** This could be a case of retaliation. Contact the Chief Audit and Compliance Officer. An investigation will take place to determine what has led to your colleagues' behavior. If the investigation determines that retaliation occurred in response to your report, appropriate action will be taken.



## ***Being Accountable***

Any information provided through the hotline or through another reporting channel will be treated confidentially to the extent permitted by law. We may be required to report certain types of activities to external sources.

If an investigation is needed, it will be conducted by the most appropriate office or function, OCR/Title IX, Human Resources, General Counsel, or Internal Audit and may also involve other personnel or external assistance.

Violations of our Code, policies, laws, or regulations can result in serious consequences for you, individually, and for the university. Code violations may result in disciplinary action, including termination of employment. The university may also take other corrective actions to help prevent any further occurrence.

### **TO LEARN MORE**

*HR-520: Reporting University-Related Misconduct*



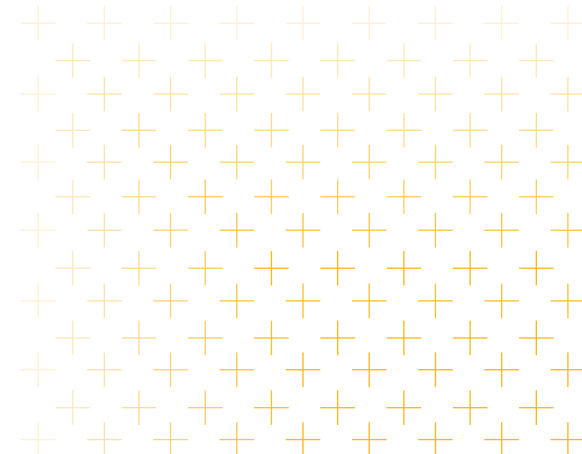


# WE EMBRACE OUR RESPONSIBILITY TO OTHERS

We are committed to establishing a diverse and inclusive working environment for our faculty and staff, providing safe, secure working conditions, and ensuring our employees have open, honest, and trusting relationships with leadership and their peers.

## ***In This Section:***

- Valuing the Uniqueness of Every Individual
- Providing Equal Opportunity and Safeguarding Against Discrimination
- Supporting a Discrimination- and Harassment-free Work Environment
- Promoting Health, Safety, and Well-being
- Maintaining Work/Life Integration
- Preserving Dignity and Human Rights



## ***Valuing the Uniqueness of Every Individual***

We work best when we work together as a team and value the unique contributions of each other.

As members of the university community, we are committed to ongoing education to:

- Promote contributions from individuals with diverse backgrounds, experiences, and perspectives.
- Understand the experiences of each other, especially when they are different from our own.
- Develop skills to better engage in open and honest dialogue that builds trust, empathy, and relationships.
- Actively work to create a professional environment where everyone's success is embraced.

## **SAFE AND RESPECTFUL DIALOGUE AND INTERACTIONS**

Creating and maintaining an environment that supports respectful dialogue is the best way to promote intellectual curiosity and sustain academic freedom. We must all work to promote an environment that supports free and open inquiry, civility, tolerance, mutual respect, and understanding.

## **OUR COMMUNITY, OUR COMMITMENT**

**We value the uniqueness of every individual.** Contributions from individuals with diverse backgrounds, experiences, and perspectives promote intellectual pluralism and enable us to achieve the excellence that we seek in learning, research, and engagement. This commitment makes our university a better place to work, learn, and innovate.

**Speak up and lead by example.** We are committed to respecting identities, ideas, experiences, and abilities at the personal, team, and institutional level. We encourage and support speaking up and leading by example in situations where the uniqueness of an individual is not being respected.





## QUESTION & ANSWER

**Q:** A colleague of mine has a name that some people find difficult to pronounce. Some department members repeatedly mispronounce the name, and they seem to be making no effort to correct their mistake. I think it is disrespectful. Is there anything I should do?

**A:** You are correct; it is disrespectful. Our names are part of our identity, linking us to our family and our history. If you are comfortable doing so, discuss the matter directly with the individuals who are mispronouncing the name. They may be unaware of how their actions are perceived. Encourage them to be more mindful and deliberate and take the time to learn how to pronounce their colleague's name correctly. If you are uncomfortable discussing the matter with the individual, you may also discuss the situation with that individual's supervisor or department chair.

**Q:** A coworker sends emails containing jokes and derogatory comments about certain nationalities. They make me uncomfortable, but no one else has spoken up about them. What should I do?

**A:** You should notify your supervisor, Title IX Coordinator, or Human Resources. Sending these kinds of jokes violates our values and may also be a violation of our policies related to the use of email, as well as our standards on diversity, harassment, and discrimination. We are all personally responsible to behave respectfully in our interactions, and to expect the same of everyone around us. Doing nothing excuses discriminatory behavior and beliefs, which can seriously erode the positive and inclusive team environment we have all worked to create and may be a violation of university policy.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Chapter 600: Equal Opportunity/Educational Opportunity*

### **Other Resources**

*Division of Inclusion, Diversity & Equity*

*Office for Civil Rights & Title IX*

*Office of Diversity, Equity and Inclusion*

*Ethics, Compliance and Audit Services*

*Office of Human Resources, University of Missouri*



## ***Providing Equal Opportunity and Safeguarding Against Discrimination***

The university is committed to equal employment opportunity, and we prohibit employment discrimination based on race, color, national origin, ancestry, religion, sex, pregnancy, sexual orientation, gender identity, gender expression, age, disability, protected veteran status, or any other status protected by applicable state or federal law. This policy applies to all employment decisions including recruiting, hiring, training, promotions, pay practices, benefits, disciplinary actions, and terminations.

### **OUR COMMUNITY, OUR COMMITMENT**

**Treat others with respect.** Offensive messages, comments, and inappropriate jokes are inconsistent with our values and are never acceptable.

**Think before you act.** Be thoughtful and deliberate to ensure that explicit and implicit biases are not influencing your decisions or creating barriers to inclusion.

**Speak up.** If you experience, see, or hear about an instance of discrimination, report it immediately to your Title IX Coordinator.



## QUESTION & ANSWER

- Q:** I believe that a vacancy in our group would not be suitable for a single parent, as it involves a lot of travel. This is not about prejudice, but practicality. Am I obliged to interview single-parent candidates out of courtesy?
- A:** You are obliged to consider all candidates whose qualifications meet the requirements of the job. Your consideration of them should be based on what you learn about their experience and suitability for the position in question – not based on your personal assumptions. Making unfounded assumptions, such as that single parents are not able to travel for work, violates our principles and may even be against the law. Just as important, failing to consider suitably qualified candidates risks missing out on appointing the best person for the job.
- Q:** I witnessed some disrespectful behavior that I think falls short of our standards, but I'm afraid of being retaliated against if I say something – can you guarantee confidentiality if I speak up?
- A:** We recognize that some faculty and staff choose not to speak up based on a fear of retaliation. The university prohibits retaliation against anyone reporting a concern in good faith, and anyone found to be engaging in retaliation will be subject to disciplinary action. We are obligated to investigate all reported concerns and claims of retaliation, and although we cannot guarantee that your name will not be directly or indirectly disclosed during an investigation, we will do our best to protect your identity. If you feel you have experienced retaliation, please contact the *Chief Audit and Compliance Officer*.

## TO LEARN MORE

### ***Collected Rules and Regulations***

*Chapter 600: Equal Opportunity/Educational Opportunity*

### ***Other Resources***

*Division of Inclusion, Diversity & Equity*



## Supporting a Discrimination- and Harassment-free Work Environment

Each of us is entitled to work in a respectful environment based on mutual trust and free from behavior that creates hostile or offensive working conditions. We do not tolerate physical or verbal intimidation, exploitative or abusive behavior, unwelcome sexual advances, inappropriate comments, or other disrespectful conduct.

In addition, sexual harassment occurring in an educational program or activity of the university, including, but not limited to, sexual assault and dating/intimate partner violence, are forms of sex discrimination and are prohibited by law and our policies.

The OCR/Title IX and the Division of Inclusion, Diversity & Equity (IDE) work collaboratively with other campus partners to provide support and address concerns related to any form of discrimination or harassment. OCR/Title IX is responsible for enforcing the university's non-discrimination policies, including providing training, connecting people to resources if they experience discrimination or harassment, and investigating complaints of discrimination or harassment of individuals based on a protected class.



## OUR COMMUNITY, OUR COMMITMENT

**Guard against harassment in all its forms.** Harassment can take many forms including:

- Unwelcome remarks, gestures, or physical conduct based on a *protected class* that make others feel uncomfortable, embarrassed, or intimidated.
- Displaying or circulating racially or sexually explicit or derogatory pictures or other materials.
- Sexual, racist, or other derogatory jokes (explicit or by innuendo).
- Verbal or physical abuse, threats, taunting, or leering.

**Speak up.** If you experience, see, or hear about this type of conduct in an education program or activity, you are required to report it immediately to your Title IX Coordinator, unless you are considered a *confidential reporter* as identified by the system Office of Diversity, Equity and Inclusion. Reports of this nature, received by a supervisor, Human Resources, or on a hotline will be forwarded to the Title IX Coordinator, consistent with the university's policy on mandated reporters.



## QUESTION & ANSWER

- Q:** While attending a conference, a colleague repeatedly asked me out for drinks and made comments about my appearance that made me uncomfortable. I asked them to stop, but they would not. We were not in the office, and it was after regular working hours, so I was not sure what I should do. Was that harassment?
- A:** Yes. This type of conduct is not tolerated, not only during working hours, but in all work-related situations, including attendance at conferences. If you are comfortable doing so, tell your colleague such actions are inappropriate and must be stopped. If they continue, or if you are uncomfortable addressing the concern directly, report the problem to your Title IX Coordinator.
- Q:** I just learned that a good friend of mine has been accused of sexual harassment and that an investigation is being launched. I cannot believe it's true, and I think it's only fair that I give my friend a "heads up" so they can defend themselves. Don't I have a responsibility as a friend to tell them?
- A:** No; under no circumstance should you give your friend advance warning. Your friend will be given the opportunity to respond to the allegations, and every effort will be made to conduct a fair and impartial investigation. An allegation of sexual harassment is a serious matter with significant implications, not only for the individuals involved but also for the university. Alerting your friend could jeopardize the integrity and eventual outcome of the investigation.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 600.010: Equal Employment/Educational Opportunity and Non-Discrimination*

*Section 600.030: Equity Resolution Process for Resolving Complaints of Harassment*

*Section 330.065: Consensual Romantic Relationships*

*Section 380.10: Grievance Procedure for Administrative, Service and Support Staff*

*Section 365.010: Faculty and Staff Campus Mediation Service*

### **Other Resources**

*Office for Civil Rights & Title IX*

*Office of Diversity, Equity and Inclusion - Reporting Incidents*



## Promoting Health, Safety, and Well-being

We strive to provide a safe and secure environment for all faculty, staff, students, and the public. We are committed to working together to eliminate violence and threats of violence, accidents, injuries, job-related illnesses, and safety and security risks.

### OUR COMMUNITY, OUR COMMITMENT

**Look out for one another.** Be on the lookout for and report any situations that may pose a risk to the health and safety of the university community.

**Violence has no place on campus.** Intimidation, threats, and acts of violence on campus or at university events, with or without the presence of a weapon, will not be tolerated. If you are a victim of workplace violence, or have knowledge of potential violence against others, promptly notify your supervisor, an appropriate administrator, University Police, or Human Resources.



### QUESTION & ANSWER

- Q:** I work in a research lab on a long-term project funded by a federal grant. I suspect one of my colleagues is using illegal drugs, and I have heard rumors that they may have recently been arrested and are awaiting trial. I am worried about their well-being and the impact of their behavior on our work. What should I do?
- A:** We encourage you to report issues or concerns that you believe are credible to a supervisor or to Human Resources. The university has resources available that provide confidential help and support to employees, such as the Employee Assistance Program (EAP). In addition to your concerns about safety and your colleague’s well-being, other issues, such as compliance with applicable laws or policies, may apply. University policy requires any employee who enters a guilty plea or is convicted of a criminal violation, to report this information to Human Resources within five (5) days, or risk disciplinary action up to and including termination.
- Q:** I work in facilities and maintenance, and I have noticed some practices in my area that do not seem safe. Who can I speak with? I am new here and do not want to be considered a troublemaker.
- A:** It is your obligation to discuss your concerns with your supervisor. Raising a concern about safety is not causing trouble - it is being responsible. If your concerns are not resolved by notifying your supervisor, contact any of the other *Helpful Resources* listed in this Code. You can also report your concerns anonymously via the *Integrity and Accountability Hotline*.



## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 85.020: Hazardous Chemicals and Radioactive Materials Policy*

*Section 110.050: Alcoholic Beverages*

### **Policies**

*HR-504: Background Checks and Criminal Convictions*

*HR-508: Drug/Alcohol Abuse in the Workplace*

*HR-517: Violence in the Workplace*

*HR-520: Reporting University-Related Misconduct*

*HR-601: Discipline*

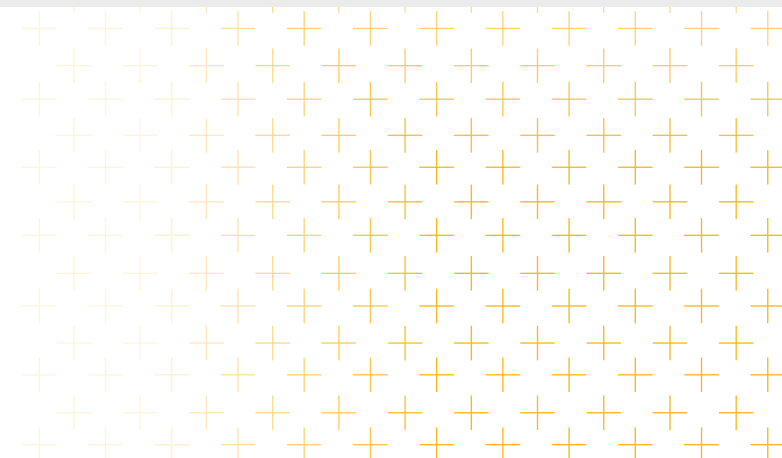
*HR-602: Grievance Procedure*

### **Other Resources**

*Environmental Health & Safety*

*University Police Department*

*Risk and Insurance Management*



## Maintaining Work/Life Integration

A good work-life balance helps ensure that faculty and staff are working at their best.

We are committed to caring for each other and creating an environment where everyone can thrive. This means supporting the “whole employee,” valuing their contributions, and providing role clarity and accountability measures to enable personal and professional success.

## OUR COMMUNITY, OUR COMMITMENT

**Learn, discover, and innovate each day.** Part of achieving work/life integration is to seize opportunities to pursue professional and personal growth by exploring intellectual interests, acquiring new skills, or participating in ongoing development activities, as well as taking time outside of work for family and leisure activities that encourage rest and stress relief.

**Leaders must do their part.** If you are in a leadership position:

- Set manageable and equitable workloads and realistic deadlines.
- Do not set expectations that undermine an individual’s ability to thrive.
- Be mindful of employees’ personal time after working hours and avoid requirements for people to work or be “on-call” during their time off.
- Provide resources and support to employees dealing with personal life issues.

## QUESTION & ANSWER

- Q:** Lately I have been feeling overwhelmed by work and family responsibilities. I do not want to discuss the matter with my supervisor. Is there anyone else I can talk to?
- A:** Yes, there is. You can contact the university’s Employee Assistance Program (EAP) at (573) 882-6701. It is a confidential, professional service available to all employees, their families, and retirees and provides a variety of services, including helping employees manage and prevent stress.

## TO LEARN MORE

### Policies

*HR-303: Educational Assistance and Tuition Reduction Program for University Employees and Their Spouses/Dependents*

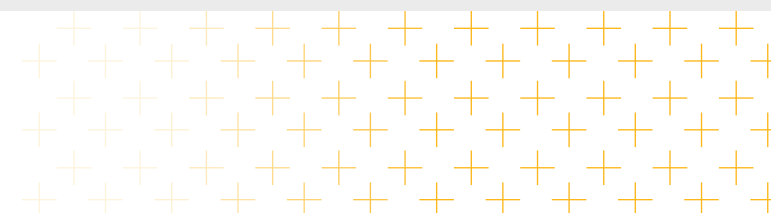
### Other Resources

*Tuition Assistance*

*Employee Assistance Program*

*Healthy for Life T.E. Atkins Wellness Program*

*Work-Life Fit (Wellness Program)*





## Preserving Dignity and Human Rights

The decisions we make individually and as an institution have an impact on the lives of others. For this reason, we must be committed to respecting human rights, and we must never tolerate abuse of human rights in our operations or in our supply chain.

### OUR COMMUNITY, OUR COMMITMENT

**Understand and follow the law and our policies and monitor our supply chain.** In our operations and those of our supply chain, we will comply with all applicable laws pertaining to fair employment practices as well as laws prohibiting forced and compulsory labor, child labor, employment discrimination, and human trafficking.

**Report possible violations.** Any suspicions or evidence of human rights abuses must be reported using any of the reporting channels in this Code.

**Respect human rights – every day.** Remember that respect for human rights begins with our daily interactions with one another. It includes valuing the unique contributions from individuals, creating a welcoming environment, accommodating disabilities and differences, and doing our part to protect the rights and dignity of others.



### QUESTION & ANSWER

- Q:** While online, I read comments suggesting that one of our suppliers may be using child labor. I do not have any first-hand evidence, but the allegations seemed credible. What should I do?
- A:** It is important that we investigate allegations of potential human rights abuses. You should discuss your concerns with Ethics, Compliance and Audit Services. They will involve the most appropriate functions to investigate the matter, and if the allegations are true, appropriate action will be taken.
- Q:** I am considering applying for a research grant, but I'm concerned that the grant will require the university to collaborate with a state-funded institution in a country that is widely considered to be involved in serious violations of human rights. Do we have a process in place to help me sort out the ethical and legal issues that may be involved?
- A:** You are right to be concerned. While research and engagement with other academic institutions is an important priority, we must never do so at the expense of our values. Nor should we lend support – directly or indirectly – to those who abuse human rights. Discuss the matter with the *Vice Chancellor of Research*. They will help determine whether it is appropriate to proceed or if there are viable alternatives.

### TO LEARN MORE

*Ethics, Compliance and Audit Services*

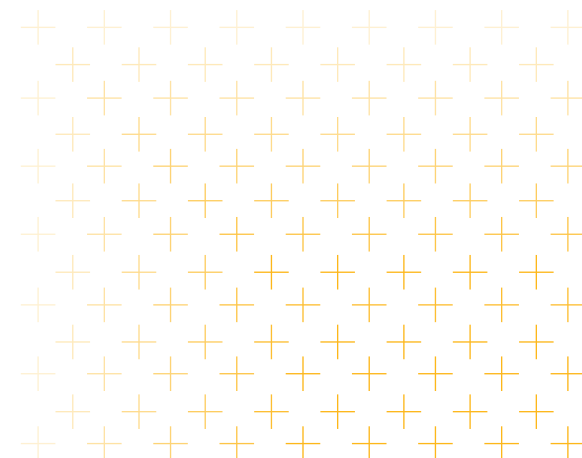


# WE CONDUCT UNIVERSITY BUSINESS WITH INTEGRITY

We achieve more together than we could on our own and each of us has the opportunity to lead and participate in work efforts that have broader impacts on the entire university community.

## ***In This Section:***

- Promoting Alumni Relations and Fundraising
- Avoiding Conflicts of Interest
- Partnering with Suppliers and Third Parties
- Competing Fairly



## ***Promoting Alumni Relations and Fundraising***

Advancement programs assist the university in obtaining public and private funding to support our academic, research, and service initiatives. Consistent with the *Donor Bill of Rights* and the Council for Advancement and Support of Education (CASE), we are committed to conducting all advancement activities in accordance with the highest ethical standards and all university policies, especially those pertaining to conflicts of interest, gifts, and confidentiality.

### **OUR COMMUNITY, OUR COMMITMENT**

**Maintain integrity and transparency.** Alumni relations and fundraising provide us with an important opportunity to demonstrate to a wider audience the importance we place on ethics and compliance. Inappropriate gifts or entertainment have no place in advancement efforts. Ensure that employees and volunteers acting on our behalf understand and follow our policies and behave consistent with our values.

**Representing the university.** All advancement-related communications sent to alumni, friends of the university, and others must be coordinated with University Advancement. Questions about donor relations or pursuing/accepting donations should be directed to the Advancement office.

**Honor the intentions of donors.** Carefully review and consider the terms and conditions of each gift before it is accepted. Be a good steward of donations by always following the terms and conditions of gifts and honoring the requests and wishes of donors throughout the life of the gift.

### **QUESTION & ANSWER**

- Q:** I work in University Advancement. We have been working with an alum on a major donation that would be included in their estate. The donor has often told us that they appreciate the time we have spent with them to find the right designation for their gift and to show their gratitude, the donor wants to “leave something” for individual advancement staff in the estate plan, too. My colleague plans to accept, but I’m not sure.
- A:** The University endorses the CASE Principles of Practice, which provide global guidelines for professionals working in advancement, and reinforce personal and professional standards and conduct in all areas of institutional advancement. The CASE Statement of Ethics asserts that the acceptance of gifts for personal or individual professional gain, conduct that could be perceived as or result in actual conflicts of interest, or any activity which is inconsistent with the best interests of the institution should be avoided. You should consult Advancement leadership if you have doubts or questions about how to proceed in this or other specific donor situations.

### **TO LEARN MORE**

#### ***Collected Rules and Regulations***

*Chapter 30: Development*

#### ***Policies***

*Finance Policy 22205: Gifts and Gift Pledges*

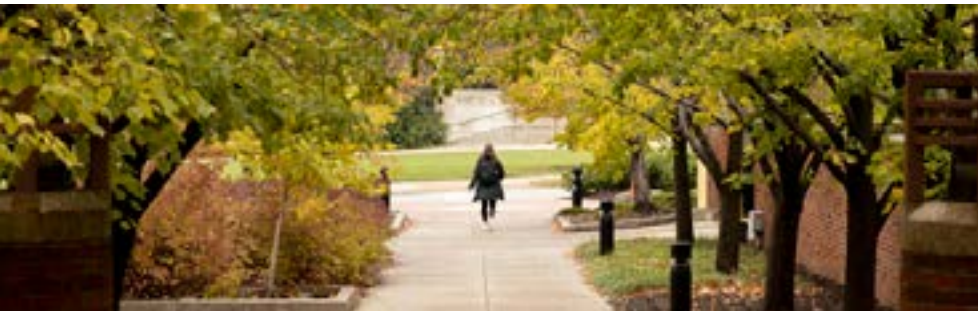
*Finance Policy 24009: Required Review of Potential Real Estate Gifts*

#### ***Other Resources***

*University Advancement*

## ***Avoiding Conflicts of Interest***

A conflict of interest may occur whenever a competing interest interferes with our ability to make impartial, objective, and effective decisions on behalf of the university. We use good judgment and avoid situations that can lead to even the appearance of a conflict, which can undermine the trust others place in us.



## **DISCLOSE ALL CONFLICTS**

Conflicts of interest may be actual, potential, or even just a matter of perception. Since these situations are not always clear-cut, if you have or are considering activities that may create a conflict, it is important to fully disclose them.

Members of the Board of Curators, administrators, faculty, and staff must annually disclose any actual or potential conflicts and disclose any relevant changes as they arise. Adjunct faculty may have separate disclosure procedures to complete.

Once disclosed, the conflict can be properly evaluated, eliminated, or managed.

## **GIFTS AND ENTERTAINMENT**

It is never acceptable to offer or give gifts or entertainment to suppliers, or potential suppliers, without prior full disclosure and approval.

Gifts or entertainment in excess of \$75 should not be accepted if they are for personal use, are from anyone outside the university, and if you are in a position to have an impact on the giver's interests.

Exceptions to this policy include:

- Gifts that are made available on the same conditions to the general public.
- Educational materials that can be used in the performance of your university duties.
- Awards or honoraria administered by or through the university.
- Any item of food, refreshment, entertainment, or other benefit provided while attending a meeting, conference, or convention, as long as it is provided on the same conditions to other attendees and could not be considered lavish.

Strict rules govern the giving of gifts and entertainment to government officials. No gifts or other benefits, including entertainment, can be offered to any government officials. If you receive a request from a government official for a payment, other than legitimate taxes or fees, immediately report the matter to the *Chief Audit and Compliance Officer*.

## **OUR COMMUNITY, OUR COMMITMENT**

**Use good judgment.** Make sure that nothing interferes with your ability to make decisions in the best interest of the university.

**Be proactive – know, avoid, and disclose.** Be mindful of situations which may create a potential conflict and avoid them when you can. If you find yourself with a potential conflict of interest, talk with your supervisor or conflict of interest contact. When we plan and think ahead, conflicts can often be avoided or managed. Faculty must disclose in advance, prior to engaging in outside activities.

**Understand potential conflicts.** It isn't possible to list every situation that could present a potential conflict of interest, but there are certain situations where conflicts are more common:

- **Outside employment** - Full-time faculty and full-time exempt personnel may not accept full-time employment with another employer.
- **Teaching** - If you plan to teach at another institution, you must make a full disclosure and obtain written, advance approval.
- **Business activities** - If you are considering engaging in a business activity that relates to, overlaps with, or competes with the university's teaching, research, service, or economic development missions, you must make a full disclosure and obtain advance approval.
- **Grants and contracts involving an employee financial interest** - When it is proposed that the university enter contracts for goods or services, research contracts or grants, or other agreements in which a member of the faculty or staff has a financial interest, a full disclosure must be made, and appropriate advance approvals must be obtained.

- **Consulting** - Consulting offers an opportunity to enhance professional development as well as provide a form of community service. However, you must make a full disclosure and obtain approval to ensure that the activity does not interfere with your university responsibilities, use university resources, compete with the work of the university, or is otherwise inappropriate.





## QUESTION & ANSWER

- Q:** I have several tickets to this Saturday's football game. I am currently negotiating a deal with a prospective supplier who happens to be in town this weekend. Can I bring the supplier to the game?
- A:** Gifts, including tickets to events, must be given carefully to avoid any appearance that we might be improperly influencing business in any way. Providing the tickets or similar items of value to a prospective supplier during negotiations is not permitted. However, it may be acceptable to take a current supplier to the game if doing so would not unduly influence the working relationship with the supplier and if doing so meets all other requirements concerning gifts and entertainment.
- Q:** My spouse is an officer in a company that does business with the university. In my job I also have contact with that company from time to time. Is this a problem?
- A:** Every case is different. You should talk through this situation with your supervisor and disclose it so that any potential issues can be reviewed.

## TO LEARN MORE

### ***Collected Rules and Regulations***

*Section 10.090: Ethics and Conflict of Interest*

*Section 330.015: Policy on Conflict of Interest*

*Section 410.020: Institutional Conflicts of Interest in Human Subjects Research*

*Section 420.030: Conflict with the Interests of Federal Grant Agencies*

## ***Partnering with Suppliers and Third Parties***

The university aims to work with suppliers and third parties that share our commitment to ethics and compliance. When there are problems in our supply chain, it can harm our reputation and expose us to legal risks. For these reasons, we carefully select our business partners and work with them to ensure they meet our high standards. As part of our commitment to valuing uniqueness, we strive to ensure variety within our pool of suppliers, the supply chain, and in all areas of the university's procurement, design, and construction groups and activities.

## **OUR COMMUNITY, OUR COMMITMENT**

**Be fair and honest.** Always engage University Procurement in supplier selection and negotiation activities. Select suppliers and business partners based on objective and transparent criteria. Never take unfair advantage of business partners through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, negotiated oral agreements, side letters, or any other unfair dealing or practice.

**Avoid conflicts of interest.** Be sure to avoid even the appearance of conflicts when selecting suppliers or responding to a bid. If you become engaged in a conflict of interest, disclose the conflict to your supervisor.

**Maintain our high standards.** If you supervise suppliers and business partners, be sure they:

- Understand and follow all relevant laws and regulations including those pertaining to safety, environment, and labor practices.

- Act in a manner consistent with our values
- Maintain and enforce their own ethics and compliance standards.
- Report any situation that may appear to involve a conflict of interest or any other violation of our Code, policies, contractual

## **QUESTION & ANSWER**

**Q:** I am in the process of selecting a new supplier. Besides factors like price, quality, experience, delivery record ... are there others I should consider?

**A:** Yes, there are. Along with the factors you've mentioned, University Procurement considers a multitude of factors in competitive bidding and purchasing processes. These include supporting diverse suppliers, Missouri firms and services, and, when possible, those that support sustainability initiatives. It is important that you always engage procurement in any activities that involve the negotiation, selection, or development of agreements with suppliers.

## **TO LEARN MORE**

### ***Collected Rules and Regulations***

*Section 80.010: Procurement*

### ***Other Resources***

*Supplier Diversity Program*

## Competing Fairly

As a university we often collaborate with other research and academic institutions outside the UM System, but we also compete with them for funding, resources, new hires, and prospective students. For this reason, it is important that we never engage in improper practices that may limit competition. We must never look to gain competitive advantages through unethical or illegal practices.

### OUR COMMUNITY, OUR COMMITMENT

**Know your responsibilities.** Faculty and staff who are involved in activities that place the university in competition with others need to understand how competition laws apply to their job.

**Understand applicable laws.** Compliance with competition or antitrust laws may depend on the specific circumstance and authority. If you have any doubt about the legality of an action, contact the Office of General Counsel as soon as possible.

**Gather competitive information by ethical means.** Like many universities, we review and analyze public information about other institutions, some of which we compete against, but we must never engage in theft, spying, or deceptive methods to gather competitive information. If you inadvertently come into possession of what may be inappropriately derived competitive information, contact the Office of General Counsel for guidance.

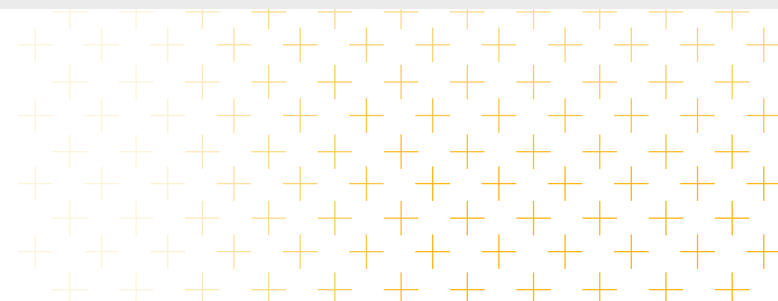
**Be cautious.** Be careful in any communications or meetings that could involve collusion over recruitment of students, fixing or coordinating tuition or fees, preventing suppliers from doing business with competitors, or other similar activities.

### QUESTION & ANSWER

- Q:** I will be attending a conference with other admissions officers, and I am worried that the discussions at the meeting may violate antitrust laws. I am not sure what I can and cannot discuss. What should I do?
- A:** You are right to be concerned, but the situation can be managed. Such conferences are an excellent way to stay informed and connected, but bringing competitors together can also lead to potential antitrust violations. Before the meeting, discuss your concerns with the Office of General Counsel. You should review the agenda and determine who might be there and what topics may come up. When you are at the meeting, stick to the agenda and limit your interaction with competitors. If you are with competitors and a discussion arises that may involve inappropriate topics, stop the conversation, break away, and promptly inform the Office of General Counsel.

### TO LEARN MORE

*Office of General Counsel*







# WE BUILD TRUST

It is through our combined talents and efforts that we realize our mission and goals. Leading with caring, integrity, and accountability builds and maintains trust with our students, stakeholders, and the communities we serve.

## ***In This Section:***

- Maintaining Academic Integrity and Research Standards
- Conducting Sponsored Research
- Protecting Confidential Information
- Being a Good Steward of University Resources
- Ensuring Financial Integrity
- Complying with Health Care Requirements



## ***Maintaining Academic Integrity and Research Standards***

Part of our mission is to produce and disseminate knowledge that will improve the quality of life in our state, the nation, and the world. We understand that to truly meet that goal we must conduct our learning, teaching, and research activities with integrity and follow applicable regulatory guidelines.

### **OUR COMMUNITY, OUR COMMITMENT**

**We uphold scholarly principles.** Never engage in or tolerate acts of plagiarism, falsification or fabrication of data, or other forms of academic and research misconduct. Comply with all requirements, terms, and conditions of grant awards and contracts.

**Researchers have additional responsibilities.** Learning requires trust in the process of discovery. If you are involved in conducting research:

- Ensure all documentation and published findings are accurate, complete, and unbiased.
- Follow all approved research protocols.
- Disclose any potential conflicts of interest that could influence or appear to influence your objectivity or the validity of research results.

**Understand and follow all copyright laws and the Fair Use Doctrine.** Copyright laws and the Fair Use Doctrine are designed to help promote advances in the arts and sciences by securing for the author the benefits of their work. As a research and educational institution, we must always respect these standards.

**Commit to the highest standards of integrity and accountability.** Work to support an environment that respects rigorous standards for learning, teaching, and research, and report all concerns regarding academic or research misconduct.



## INTELLECTUAL PROPERTY

The university is committed to the exchange of ideas and research findings with our colleagues and the broader academic community. Whenever research results have the potential for commercialization, take appropriate steps and protect the intellectual property ownership interests of both the inventor and the university.

## QUESTION & ANSWER

- Q:** I've learned that a colleague is submitting an article for publication with which I strongly disagree. I think it may violate our research and academic standards, and its publication could damage the credibility of the university. What should I do?
- A:** If you believe your colleague may have violated our research standards, you should first discuss your concerns with your colleague, department chair, or dean. However, it is important to note that a difference of opinion is not in and of itself proof of misconduct.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 100.010: Use of Copyrighted Materials in Teaching and Research*

*Section 100.030: Copyright Regulations*

*Section 330.110: Standards of Faculty Conduct*

*Section 410.020: Institutional Conflicts of Interest in Human Subjects Research*

*Section 420.010: Research Misconduct*

### **Other Resources**

*Digital Millennium Copyright Act*

*Office of Academic Integrity*

*Office of Research and Economic Development - Research Compliance*



## Conducting Sponsored Research

The university often enters agreements to conduct sponsored research. We are committed to understanding and following all compliance obligations included in the agreements.

### OUR COMMUNITY, OUR COMMITMENT

**Understand and comply with all requirements.** Any member of the university community involved in proposing, overseeing, documenting, and conducting sponsored research should fully understand and comply with all compliance and contractual requirements. Be especially aware of any requirements that may apply to government-sponsored research.

**Leaders have additional responsibilities.** If you are in a leadership position, clearly communicate the full compliance requirements to all involved parties and encourage them to speak up if they have any questions or concerns. Research leaders must never apply pressure - either intentional or inadvertent - that might result in false or misleading findings.

**Maintain accurate records.** Properly record and charge costs and time to appropriate accounts.

### QUESTION & ANSWER

- Q:** The professor who oversees the lab where I work told me to log my time to a different project. They said it was just a formality since all the projects were part of the same grant, and it would not matter. This does not seem right. Should I do as they ask?
- A:** There may be a good reason for the request, but you should ask your professor for more information or, if you are uncomfortable doing so, contact the Office of Sponsored Programs Administration (OSPA). We need to be sure that your time is recorded properly for all sponsored research.

### TO LEARN MORE

#### **Collected Rules and Regulations**

*Section 420.010: Research Misconduct*

*Section 420.030: Conflict with the Interests of Federal Grant Agencies*

#### **Other Resources**

*Office of Research and Economic Development - Research Compliance*

*Office of Sponsored Programs Administration*

## ***Protecting Confidential Information***

It is important that we protect confidential information, including personal information, business information, and intellectual property. We must keep confidential information secure and protect it from loss, misuse, and inappropriate access or disclosure.

### **OUR COMMUNITY, OUR COMMITMENT**

**Share confidential information only on a need-to-know basis.**

Share confidential information only with those who are authorized and need the information to do their jobs. If you are sharing confidential information with anyone outside the university, make sure you have proper authorization.

**Use good judgment when discussing sensitive and confidential information.** Never discuss sensitive or confidential information when unauthorized persons might be able to overhear what is being said. For example, never have conversations about sensitive or confidential information in elevators, in visitor or public areas, or when using mobile phones in non-private spaces.

**Understand and follow data privacy laws.** Data privacy laws govern how we collect, access, store, use, share, transfer, and dispose of personal information. If you work with personal information, be sure to understand and follow the laws that apply. If you become aware of a potential breach of data privacy requirements, contact the Chief Audit and Compliance Officer immediately.

**Use care when opening emails from external sources.** Phishing is a form of internet fraud designed to trick you into disclosing sensitive information. Scammers use fraudulent logos and company contact information in their schemes. Even if it looks real, it's always

best to be cautious. It only takes one click on a fraudulent email to put personal information at risk. Information on recognizing and reporting suspicious emails can be found on this [Information Security webpage](#).

**Abide by acceptable use policies.** The protection of sensitive information is the responsibility of all university members. Know and understand your responsibility for the acceptable use, and prohibited uses, of university technology resources.

**Report problems and address risks.** Immediately report any theft, loss, or unauthorized disclosure of confidential information to your supervisor and the Chief Audit and Compliance Officer. Speak up if you notice any situation that you believe places the security of our confidential information at risk.



## PERSONAL DATA AND INFORMATION

Personal data and information about faculty, staff, students, applicants for admission, visiting faculty, patients, and others is considered confidential information. It must be protected, especially if it includes anything that could be used to identify someone, either directly or indirectly, such as a name, email address, phone number, student ID number, or credit card number.

## QUESTION & ANSWER

- Q:** I found a document on the photocopier containing a lot of confidential personal information, including credit card numbers. I believe the information came from transactions that were made on our website. I do not want to get anyone into trouble, but I do not think it's right that this kind of information is left for all to see. What should I do?
- A:** You should contact the *Chief Audit and Compliance Officer* right away. Protecting confidentiality and privacy is the responsibility of every member of the university community. Whoever left the papers in the copier will be counseled on their duty to protect the confidentiality of personal information.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 110.005: Acceptable Use Policy*

*Section 110.100: Use of Information Gathered from Credit Card Transactions on University Websites*

### **Policies**

*Finance Policy 23001: Records General Policy*

### **Other Resources**

*Information Security Program*

*Phishing Scams*

*Phishing Scams, Spam and Junk Email*



## ***Being a Good Steward of University Resources***

Each of us is entrusted with the care and appropriate use of university resources. We all must do our part to protect these resources from loss, damage, theft, waste, and improper use.

### **UNIVERSITY RESOURCES INCLUDE:**

**Physical assets** – Office equipment, furnishings, university vehicles, and supplies.

**Information assets** – Research findings, data and databases, intellectual property, logos, and brand.

**Financial assets** – Funds including checks, petty cash, One Cards, invoices, and other financial records.

**Electronic assets** – Computers, peripherals, electronic storage devices, telephones, information systems, internet/intranet access, personal digital assistants, and other similar devices, systems, and technology.

## **OUR COMMUNITY, OUR COMMITMENT**

**Treat university property as if it were your own.** Secure your office, workstation, and equipment by locking items or powering down systems. Contact [\*Surplus Property\*](#) before you loan, sell, or donate any university-owned assets. Strive to obtain the best value when making purchases. Report any equipment that is damaged, unsafe, or in need of repair. Report suspected incidents of theft or misuse of our assets.

**Follow our information systems policies.** Follow all policies and practices that are designed to protect our information networks, computers, programs, and data from attack, damage, or unauthorized access.

- Limit personal use of university-owned computers and phones. Occasional personal use is permissible as long as it doesn't interfere with your job responsibilities or productivity.
- Protect your usernames and passwords.
- Do not open suspicious links in emails, even if you think you know the source.
- Do not use unlicensed software or use your university computers or phones for games or viewing offensive or illegal material.

**Sustainability.** Sustainability is the principle of being in a state of productive harmony with our natural environment. It presumes that resources are finite and should be used conservatively and wisely to ensure their availability for future generations. The concept of sustainability is fundamental to being a good steward of university resources.

As such, we should strive to be good stewards in our work and day-to-day activities, using resources responsibly, and working with the university community to provide support, education, and leadership opportunities that empower the community to address sustainability issues on campus and beyond.

**Be proactive.** Do your part:

- Help promote and strengthen awareness of existing campus sustainability practices throughout the university community.
- Look for ways to collaborate with the understanding that sustainability is a holistic effort that cannot be accomplished by just one department, organization, or office.

## QUESTION & ANSWER

**Q:** I am traveling, and I do not have my university laptop with me. Unfortunately, I need to work on a project that is time sensitive. I would like to ask a colleague to email critical files to me so I can continue to do my work on my personal laptop. Is this allowed?

**A:** Talk to your manager to see if there is a better solution. You should always seek to complete work on university-issued equipment, with proper password protection and encryption and using the university VPN for transferring or downloading files, especially if you are away from the office and working with sensitive or confidential information. Even if the file does not contain sensitive or confidential information, using personal equipment could expose our systems to viruses.

**Q:** I am new on campus and would like to become more involved in sustainability efforts, but I am not sure how to begin. Where do I start?

**A:** The Sustainability Office is your best source of information and advice. It is the focal point and catalyst for sustainability-related operations, education, research, activities, and planning on campus. It also maintains an event calendar and a list of sustainability-focused clubs and organizations.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 110.005: Acceptable Use Policy*

*Section 110.010: Regulations (Facilities and Equipment Management)*

*Chapter 170: Communications - Information Management*

### **Other Resources**

*Information Technology Policies*

*Sustainability Office*





## Ensuring Financial Integrity

Each of us has a responsibility to ensure that the financial information we record is full, fair, accurate, timely, and understandable. Funding comes from a variety of sources (e.g., tuition/fees, state appropriations, gifts, etc.), and it is important that the university can accurately report how we put that funding to good use.

Faculty and staff involved in preparing financial statements have special responsibilities in this area, but all of us contribute to the process of accurately recording financial results and maintaining accurate records.



## OUR COMMUNITY, OUR COMMITMENT

**Carefully follow all requirements and our internal controls.** Provide information that is complete, accurate, timely, and transparent. All financial transactions should be supported by proper documentation. Make sure that financial entries, including expense reports and time sheets, are accurate, complete, and describe the true nature of the transaction.

**Be truthful.** Never falsify any transactions or record any misleading entries. Never record entries early or late, backdate contracts, understate or overstate known liabilities and assets, or defer recording items that should be expensed. If you are involved in preparing financial disclosures, be sure that they are complete, fair, accurate, timely, and understandable, and do not misrepresent or omit material facts.

**Manage records responsibly.** Know and follow our policies related to handling, storage, and disposal of records.



## QUESTION & ANSWER

- Q:** My supervisor often asks me to meet with sales representatives to order supplies and told me I can sign contracts if they are for purchases that are within our budget. Now I wonder if this is correct. Is it?
- A:** No, it is not. Very few individuals have authority to sign agreements with suppliers. Unless you have expressly been authorized to do so, you should never sign an agreement that obligates or binds the university in any manner. Delegated authority for purchasing and contracting of supplies, equipment, and services has been granted exclusively to University Procurement and certain individuals.
- Q:** While traveling on university business, I went to dinner with my sibling who lives in the area. They suggested that I charge both our meals on my university card and expense it. Can I do that?
- A:** No. While you can expense your meal, you cannot expense your sibling's meal because it is not business-related. You have a responsibility to be honest and accurate on expense reports.
- Q:** My supervisor asked me to record an entry which will result in a possible misstatement of the value of an asset on our books. Should I do what my supervisor asks?
- A:** No. It is important to record the value of assets accurately; not doing so would be a misrepresentation, and it could be fraud. You need to discuss your concern with your supervisor, but if you are not comfortable doing so, seek immediate help using any of the resources listed in the [Raising Concerns](#) section of the Code.

## TO LEARN MORE

### ***Collected Rules and Regulations***

*Chapter 70: Execution of Instruments*

### ***Other Resources***

*Finance Code of Ethics*

*Finance Policies*

*Records Retention Authorizations*



## Complying with Health Care Requirements

At the MU School of Medicine, School of Health Professions, and Sinclair School of Nursing, our highest priority is training health care professionals for tomorrow to deliver exceptional, compassionate care. As faculty who teach and mentor our future health care professionals, and clinicians who deliver care to patients at MU Health, we believe that all patients are entitled to equal access to care, to be treated with respect, and to the privacy and confidentiality of their medical and financial records.

Because health care is a highly regulated industry with federal and state standards that are extensive and complex, faculty and staff of the MU School of Medicine, School of Health Professions, and the Sinclair School of Nursing are expected to know, understand, and live the *University of Missouri Health Code of Conduct Manual*.

### TO LEARN MORE

#### **Collected Rules and Regulations**

*Chapter 440: UMC Medical Services - Medical and Dental Schools and Services*

#### **Other Resources**

*University of Missouri Health Code of Conduct Manual*



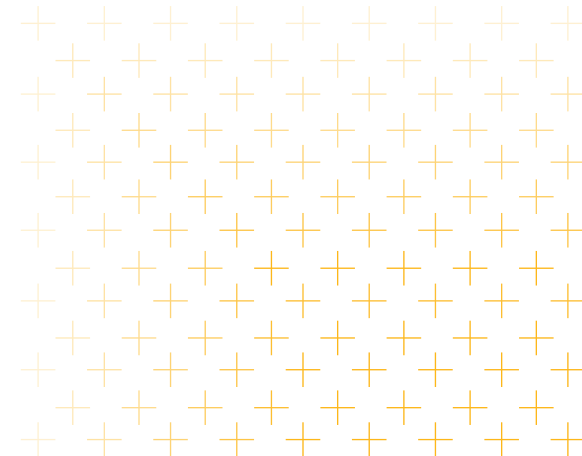


# WE ENGAGE WITH THE COMMUNITIES WHERE WE LIVE AND WORK

We offer an extraordinary environment that enables student success and drives innovative research toward changing lives and enriching our communities. Our mission-driven work transcends the walls of the university.

## ***In This Section:***

- Working with the Community
- Representing the University
- Participating Responsibly in Charitable and Political Activities



## Working with the Community

Part of the UM System mission is to “serve as a catalyst for innovation, thereby advancing the educational, health, cultural, social, and economic interests to benefit the people of Missouri, the nation, and the world.”

Through teaching, research, and service, we help address our state’s challenges including economic opportunity, educational excellence and access, and health and well-being.

### OUR COMMUNITY, OUR COMMITMENT

**Share your expertise and interests.** Take an active role in your community, learn about the university, and engage or participate in activities that benefit both. If you would like to participate in university-sponsored activities, the *Office of Engagement and Outreach* is a good place to start. Sharing your expertise and interests with this office can help leverage university resources and multiply the impact of your individual efforts.

**Do not pressure others.** Never solicit or pressure colleagues, alumni, or our business partners to support your favorite community-based initiative, charity, or cause.

### QUESTION & ANSWER

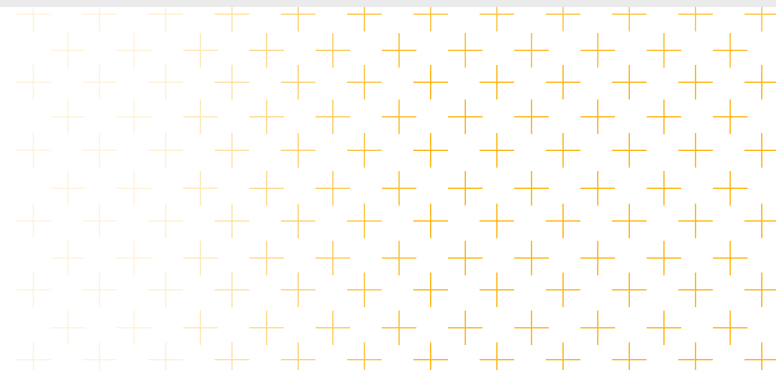
- Q:** We have education materials and surplus equipment that could be very useful to local schools. Are such donations allowed?
- A:** Yes. In-kind contributions to schools or local governments play an important part in our community relations and are allowed; however, because these contributions may be subject to regulations or viewed as a conflict of interest, the disposal, re-distribution, or sale of all used university equipment or property must be handled through Surplus Property processes. Donations must always be to a school or government body, rather than to any individual working for it.

### TO LEARN MORE

*Statewide Reach*

*MU Extension*

*Surplus Property*



## Representing the University

Faculty and staff contribute to the advancement of the arts, sciences, and public policy, and this often includes conducting research, publications, presentations, and community service. In all these ways, members of our community represent the university to the wider public. In these activities, we are free to explore and innovate, as guided by our values and personal and professional standards.

### OUR COMMUNITY, OUR COMMITMENT

**Be deliberate and thoughtful.** Take time to create communications carefully and consider how your message will be interpreted by others.

**Representing the official position of the university.** There may be situations when faculty and staff are asked to speak to the public and officially represent the university. In these instances, it is important that we speak with one clear and consistent voice. For this reason, only designated personnel, or those with prior approval, may officially represent the university. If you receive an external inquiry for information about the university, refer the individual to *Media Relations*.

### USING SOCIAL MEDIA

Social media is an excellent way to connect with colleagues and others in the university community and beyond, but always be careful when creating anything that might be published online, especially if you identify as a University of Missouri employee. When you are using social media, keep the following in mind:

- If you are representing yourself as a University of Missouri employee, keep public communications professional, factual, and consistent with our values and policies.
- Comply with our requirements concerning the sharing of confidential information.
- Be careful when listing the university as your employer on any social media site, with the understanding that your social media activity may have an impact on the university's reputation.

## QUESTION & ANSWER

- Q:** I have a personal blog where I share my thoughts and feelings with my friends. What should I consider before including any work-related information?
- A:** Be careful. Do not disclose, share, or retweet any confidential information. For example, do not write about our students or patients, the status of any confidential research projects, relationships with suppliers, financial information, personal employee information (addresses, phone numbers, employee identification numbers, etc.), or any other sensitive or confidential information.
- Q:** Someone posted a claim on an online social network about one of our faculty members that I believe is false. I think it's important that we correct the misinformation. Is it acceptable if I go ahead and post a response?
- A:** While it may be tempting to correct the information and engage with the source, we would recommend you instead notify Ethics, Compliance and Audit Services of your concerns.

## TO LEARN MORE

### ***Collected Rules and Regulations***

*Section 30.020: Advancement Communications*

### ***Other Resources***

*Social Media - General Guidelines*

*Personal Use of Social Media*



## ***Participating Responsibly in Charitable and Political Activities***

Faculty and staff have the right to participate in the political process. The university is dedicated to free expression and facilitation of the exchange of ideas, balanced with use of resources and facilities in a manner consistent with policy and safety and remaining a community that respects diverse views.

Laws and regulations place numerous restrictions on the university's role in political activities and lobbying. Members of the university community engaging in political activity must do so as individual citizens, on their own time, and at their own expense.

### **OUR COMMUNITY, OUR COMMITMENT**

**Understand and follow the law and our policies.** Just as every citizen may express their views on any given subject, faculty and staff may also do so as long as such views do not constitute, advocate, encourage, or condone violations of law. Unless you are authorized to do so, never make political campaign contributions on behalf of the university, and do not engage in any political advocacy or “lobbying” activities on behalf of or in the name of the university. Any charitable contributions involving the university must be approved in accordance with the limits and restrictions established in our policies.

**Keep your politics separate from work.** Never use university funds, assets, or facilities to support any charity, political candidate, or party unless approved by the *Office of Government Relations*.

- Identify your political statements as yours and not the university's.
- Never pressure others to contribute to, support, or oppose any cause, political candidate, or party in the name of the university, and do not solicit contributions or distribute political literature during work hours.

- Expressing views and opinions is a normal part of human interaction; however, be mindful and consider the potential impact of sharing personal or political beliefs in workplace settings on professional office and classroom relations.

**Know appropriate time, place, and manner restrictions when protesting.** The right to dissent and protest on campus is subject to time, place, and manner restrictions. We are dedicated to free expression and facilitation of the exchange of ideas, but we must ensure that our resources and facilities are always used in a manner consistent with our policies and safety and assure that our campus remains a community that respects diverse views.





## QUESTION & ANSWER

- Q:** An elected official asked to use one of our campus venues for a campaign event. Is this allowed?
- A:** It is important that you inform the Office of Government Relations before extending an invitation. There are many complex reporting requirements that need to be followed and much that needs to be coordinated, including assessing whether the use of the venue or services constitutes a gift to a public official, whether the activity is considered lobbying, and whether any specific reporting requirements apply.
- Q:** I went to a fundraising dinner for a candidate for a local government office. This candidate takes positions favorable to our interests, so can I claim the dinner on my expense report?
- A:** No. If you did this, it would be considered a political contribution from the university, which would violate our policies. While you are free to attend political fundraising events as an individual, you must not use university assets or funds for such purposes or give the impression that you are representing the university.

## TO LEARN MORE

### **Collected Rules and Regulations**

*Section 330.020: Civic Responsibility*

*Section 330.030: Disruption*

*Section 330.040: Professional Responsibilities, Protest and Political Activities*

*Section 330.050: Political Activities*

### **Other Resources**

*Free Expression at Mizzou*



## Helpful Resources

### Resource & Contact Information:

Integrity and Accountability Hotline or (844) 469-6383

University Police Department  
(573) 882-7201

Ethics, Compliance and Audit Services  
Interim Chief Audit & Compliance Officer  
(573) 882-6151  
[umcompliance@umsystem.edu](mailto:umcompliance@umsystem.edu)

Office of Institutional Equity  
(573) 882-2824 (Jesse Hall Office)  
(573) 882-3880 (Heinkel Office)  
[equity@missouri.edu](mailto:equity@missouri.edu)

Office of Human Resources, University of Missouri  
(573) 882-2146  
[hrservicecenter@umsystem.edu](mailto:hrservicecenter@umsystem.edu)

Division of Inclusion, Diversity & Equity  
(573) 882-3394  
[diversity@missouri.edu](mailto:diversity@missouri.edu)

Environmental Health and Safety  
(573) 882-7018  
[ehs@missouri.edu](mailto:ehs@missouri.edu)

University Advancement  
(573) 882-5154  
[giftprocessing@missouri.edu](mailto:giftprocessing@missouri.edu)

Employee Assistance Program  
James Hunter, Employee Assistance Program Director  
(573) 882-6701  
[hunterjd@missouri.edu](mailto:hunterjd@missouri.edu)

Office of Academic Integrity  
[academicintegrity@missouri.edu](mailto:academicintegrity@missouri.edu)

Research, Innovation & Impact  
(573) 882-9500  
[research.missouri.edu/contact](http://research.missouri.edu/contact)

Sponsored Programs Administration  
(573) 882-7560  
[muresearchospa@missouri.edu](mailto:muresearchospa@missouri.edu)

Office of Information Technology  
(573) 884-8983

Office of Engagement and Outreach  
Chadwick Higgins, Interim UM System Chief Engagement Officer & Vice Chancellor for Extension and Engagement  
(573) 882-7477  
[cchiggins@missouri.edu](mailto:cchiggins@missouri.edu)

University Procurement/Supply Chain Operations  
(Includes Surplus & Asset Management)  
(573) 884-1234

Media Relations  
(573) 882-6211  
[munews bureau@missouri.edu](mailto:munews bureau@missouri.edu)

Office of Government Relations  
Dustin Schnieders, Assistant Vice President of Government Relations  
[schniedersd@umsystem.edu](mailto:schniedersd@umsystem.edu)