

University of California, Irvine

Business Conduct Principles
Reference Guide



Dear Colleagues,

At the University of California, Irvine, our actions are guided by a set of core values – integrity, respect, intellectual rigor, commitment, empathy, appreciation and fun – that foster the creative process, build stronger bonds between people and inspire a shared sense of purpose.

The Business Conduct Principles Reference Guide strengthens our adherence to these values and promotes a model of ethical behavior in the workplace. As a public institution we are accountable to the taxpayers of California, as well as the students, parents, alumni, patients and community we serve. These supporters rightfully expect our wise stewardship and professionalism.

Every member of the UCI community is expected to follow a code of ethical conduct. This guide outlines – in detail – the principles underpinning our business practices, including management accountability, rigorous financial reporting and respect for people of different backgrounds and beliefs.

I hope that you find this guide a useful compliment to our campus values and a valuable tool for promoting the highest standards of excellence in all that we do.

Michael V. Drake, M.D.
Chancellor

Contents

Fundamental Principles and Responsibilities	2
Accountability Framework	3
Workplace Respect and Tolerance	4
Regulatory Compliance	5
Conflict of Interest and Gratuities	6
Contractual and Grant Obligations	7
Financial Reporting	8
Information Access and Disclosure	9
Computing and Electronic Information	10
Reporting of Suspected Violations	11
Informal Conflict Resolution	12
Resources	13

Fundamental Principles and Responsibilities

UC Irvine is dedicated to protecting the reputation of the University and maintaining the public's trust by adhering to consistent standards of conduct in its business activities. UC Irvine must earn and maintain a reputation for integrity. Business activities undertaken on behalf of the University with the public, private sponsors, government, suppliers, students, and one another must reflect consistent standards of integrity and fairness.

Individuals who accept employment at UC Irvine assume the rights and responsibilities entrusted to members of the University community. As such, they are expected to treat others honestly, ethically, and fairly; to communicate in a scrupulous and straightforward manner; and to support an environment of goodwill and mutual respect.

The appearance of misconduct or impropriety can be very damaging to the University. When University activities are not governed by specific laws or regulations, integrity and respect for the rights of others should guide our conduct. No unethical practice can be justified because it is "customary" outside UC Irvine or because it serves other worthy goals.

Related Policies, Guidelines, and Resources

University of California Statement of Ethical Values
University of California Standards of Ethical Conduct
University of California Faculty Code of Conduct
University of California Policy on Integrity in Research
University of California Conflict of Interest Code
University of California Accounting Manual
University of California Business and Finance Bulletins
University of California Facilities Manual
University of California Policies Applying to Campus Activities, Organizations, and Students
University of California Policy on Sexual Harassment
UC Irvine Administrative Policies & Procedures

Accountability Framework

The Chancellor has delegated financial, administrative, and management responsibilities to administrative officials responsible for the operation of departments or business units. These delegations can be accessed at:

www.policies.uci.edu

The term “administrative official” refers to any UC Irvine employee who holds one of the following positions, and/or to whom financial, administrative, or management responsibilities have been delegated:

executive vice chancellor/provost	vice chancellors
deans	associate vice chancellors
assistant deans	assistant vice chancellors
department chairs	directors
principal investigators	unit/department heads
academic business officers	managers

Administrative officials are charged with efficiently managing resources and risks to attain program objectives while maintaining sound financial conditions and compliance with applicable laws and regulations. While administrative officials may delegate many responsibilities, they retain *accountability* for:

- compliance with applicable laws and regulations, University policies, collective bargaining agreements, and terms and conditions of gifts, contracts and grants;
- sound financial conditions and good business practices;
- a system of internal controls that identifies and manages risks;
- employee relations practices that ensure due process, nondiscrimination, and freedom from harassment and retaliation;
- the integrity of data needed to support these accountabilities.

Workplace Respect and Tolerance

UC Irvine is committed to fostering a community in which all persons who participate in University programs and activities can work together in an atmosphere free of harassment, discrimination, exploitation, and intimidation. UC Irvine provides avenues for faculty, staff, students, visitors, and individuals conducting business with the University to voice their concerns regarding harassment, equal opportunity, and discrimination.

The University seeks to foster an environment conducive to sharing, extending, and critically examining knowledge and values, and furthering the search for wisdom. By recognizing the diverse beliefs and practices of others, we seek a community that promotes tolerance and intercultural understanding. These goals rest on mutually supportive relationships among individuals. Accordingly, every member of the University community has a responsibility to treat the opinions and beliefs of others with respect and tolerance.

Related Policies, Guidelines, and Resources

Personnel Policies for UC Staff Members

Personnel Procedures for UC Irvine Staff Members

University of California Academic Personnel Manual APM-015, Faculty Conduct

University of California Nondiscrimination and Affirmative Action Policy Regarding
Academic and Staff Employment

University of California Policy on Sexual Harassment

University of California Procedures for Responding to Reports of Sexual Harassment

University of California Policies Applying to Campus Activities, Organizations and Students

UC Irvine Administrative Policies & Procedures

Section 700-16 Policy on Conflicts Created by Consensual Relationships

Section 700-17 Guidelines for Sexual Harassment Complaint Resolution

Section 700-18 Guidelines for Discrimination Complaint Resolution

UC Irvine Office of Equal Opportunity and Diversity

Regulatory Compliance

UC Irvine transacts its business in compliance with the laws of the jurisdictions in which it does business. Administrative policies further define how UC Irvine will comply with such laws and describe expected employee behavior. If University policies appear difficult to interpret or apply, or if policies appear to conflict with laws, regulations, or ethical principles, the office that has oversight responsibility for clarification or guidance should be contacted.

Related Policies, Guidelines, and Resources

University of California Policy to Comply with [California] Public Contract Code Sections 10510.4 and 10515

University of California Policy on Management of Health, Safety, and the Environment

University of California Policy on Safeguards, Security, and Emergency Management

University of California Policy on Green Building Design, Clean Energy Standards, and Sustainable Transportation Practices

University of California Policies and Guidelines Related to Research

Business and Finance Bulletins

BUS-29, Management and Control of University Equipment

BUS-43, Materiel Management

G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest

BUS-50, Materiel Management Acquisition and Use of Narcotics and Dangerous Drugs

BUS-56, Purchases from Entities Violating State or Federal Water or Air Pollution Laws

University of California Policy on Copyright Ownership

University of California Facilities Manual

University of California Policy on Sexual Harassment and Procedures for Responding to Reports of Sexual Harassment

University of California Whistleblower Policy and Whistleblower Protection Policy

UC Irvine Administrative Policies & Procedures

Section 400 Academic Personnel Office

Section 401 Academic Senate Office

Section 480-10 Research and Graduate Studies

Section 700-09 Policies on Gifts, Gratuities, and Conflict of Interest

Section 700-17 Guidelines for Sexual Harassment Compliant Resolution

Section 700-18 Guidelines for Discrimination Complaint Resolution

Section 701 Accounting Office

Section 706-10 Property Inventory Control System Policy

Section 707-15 Guidelines on Acquisition and Use of Controlled Substances
(Narcotic and Non-Narcotic)

Section 710-10 Internal Audit

Section 900-13 Policy on Consumption of Alcoholic Beverages

Section 901-13 Design & Construction Services

Section 903-10 Environmental Health & Safety Policy

Conflict of Interest and Gratuities

As part of UC Irvine's community, each of us in a position of public trust. We must be particularly aware of situations where a conflict may exist between our private interests and official responsibilities.

UC Irvine employees may not give, offer, or promise anything of value to any vendor, contractor, or other individual for the purpose of receiving favorable treatment. Nor shall UC Irvine personnel solicit or accept anything of value from any vendor, contractor, or other individual. No procurement arrangement can be made by an employee with a relative or near relative, unless determined by the Director of Materiel & Risk Management to be allowable within policy.

Employees may not give, offer, or promise anything of value to any government official in order to enhance relations, regardless of whether that official is in a position to influence any government decision that affects the University or its activities. This includes entertainment, gratuities, and gifts.

Related Policies, Guidelines, and Resources

University of California Business and Finance Bulletins

IA Series -Internal Audit

G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest

G-42, Gifts Presented to Non-Employees on Behalf of the University

BUS-34, Securing the Services of Independent Consultants

BUS-43, Materiel Management (Exhibit B, Prin. of Purchasing and Code of Ethics)

BUS-77, Independent Contractor Guidelines

University of California Conflict of Interest Code

University of California Policy and Guidelines Regarding Acceptance of Gifts and Gratuities by Employees under California's Political Reform Act

University of California Policy on University Membership in Organizations

UC Irvine Administrative Policies & Procedures

Section 700-07 Policy on Memberships

Section 700-09 Policies on Gifts, Gratuities, and Conflict of Interest

Section 707-10 Purchasing Procedures

Section 707-12 Guidelines for Securing Services of Independent Contractors

Section 710-10 Internal Audit

Section 712-10 Guidelines for Securing the Services of Independent Consultants

Contractual and Grant Obligations

The University takes seriously and adheres to its contractual obligations to donors, governments, suppliers, and others. In any instance where particular contractual or grant requirements are difficult to interpret or apply, clarification should be sought from the Sponsored Projects Office, Office of Research Administration.

Related Policies, Guidelines, and Resources

University of California Business and Finance Bulletins

BUS-43, Materiel Management

G-39, Conflict of Interest Policy and Compendium of Specialized University Policies, Guidelines, and Regulations Related to Conflict of Interest

IA Series, Internal Audit

University of California Contract and Grant Manual

University of California Policies and Guidelines Pertaining to Research

University of California Policy on Anatomical Materials Programs

University of California Development Policy and Administration Manual

University of California Policy and Administrative Guidelines on Support Groups, Campus Foundations, and Alumni Associations

University of California Whistleblower Policy

UC Irvine Sponsored Projects Administration Policies & Procedures

UC Irvine Administrative Policies & Procedures

Section 701-10 Federal Funds Administrative Procedures

Financial Reporting

The University's five medical centers, ten campuses, three national laboratories, and numerous other facilities comprise a single corporation. Accordingly, financial information must be recorded and reported on a consistent basis. In addition, all segments of the University must follow uniform procedures when handling transactions involving funds provided by the State of California or the federal government.

University accounts, financial reports, tax returns, expense reimbursements, time sheets, documents submitted to government agencies, and other documents must be accurate, clear, and complete. Entries in University books and records, including departmental accounts and individual expense reports, must accurately reflect each transaction. Care should be taken to ensure proper recording and charging of all costs to the appropriate account and fund.

Most UC Irvine sponsored agreements are of the cost reimbursement type. Accordingly, reimbursement from the government must be requested only for costs that are reasonable, allowable, and allocable under the terms of the pertinent agreement.

Related Policies, Guidelines, and Resources

University of California Accounting Manual

University of California Business and Finance Bulletins

A-47, University Direct Costing Procedures – References, Introduction

BUS-79, Expenditures for Entertainment, Business Meetings, and Other Occasions

UC Irvine Federal Demonstration Partnership

UC Irvine Administrative Policies & Procedures

Section 701 Accounting Office

Section 701-10 Federal Funds Administrative Procedures

Section 701-17 Cost Transfers (Non-Payroll) - Procedures

Section 701-18 Cost Transfers (Payroll) - Procedures

Section 701-19 Personnel Activity Reporting (PAR) - Procedure

Section 704-10 Campus Cashiering Policy

Information Access and Disclosure

The University is entrusted with many kinds of confidential, proprietary, and private information. It is imperative that those who have access to it do not make unauthorized disclosures, as prescribed by State of California law, either during or after employment.

Related Policies, Guidelines, and Resources

University of California Business and Finance Bulletins

RMP-1, University Records Management Program

RMP-2, Records Retention and Disposition

RMP-7, Privacy of and Access to Information Responsibilities

RMP-8, Legal Requirements on Privacy of and Access to Information

RMP-9, Guidelines for Access to University Personnel Records by Governmental Agencies

RMP-10, Instructions for Responding to Subpoena

RMP-11, Student Applicant Records

RMP-12, Guidelines for Assuring Privacy of Personal Information in Mailing Lists and Telephone Directories

University of California Electronic Communications Policy

University of California Policy and Guidelines on the Reproduction of Copyrighted Materials for Teaching and Research

University of California Policy on Copyright Ownership

University of California Policies Applying to Campus Activities, Organizations, and Students

UC Irvine Administrative Policies & Procedures

Section 700-11 Guidelines on Subpoena, Subpoena Duces Tecum, and Deposition Subpoena

Section 714-18 Computer and Network Use Policy

Section 720-10 Information from Public Records (California Public Records Act) - Guidelines

Section 720-11 Privacy of and Access to Information (Excluding Student Records) - Guidelines

Section 720-12 Student and Student Applicant Records - Guidelines

Section 721-10 Records Management Guidelines

Section 800-15 UC Irvine Guidelines for the UC Electronic Communications Policy

Section 800-17 UC Irvine Implementation Guidelines for Notification in Instances of Security Breaches Involving Personal Information Data

Computing and Electronic Information

UC Irvine provides computing resources and worldwide network access to members of the UC Irvine community for legitimate academic and administrative pursuits. Use of University assets for commercial purposes or personal financial gain is prohibited. Activities with the potential for conflict of interest should be avoided. All members of the UC Irvine community (faculty, staff, students, and authorized guests) accessing electronic resources assume the responsibilities for appropriate use.

Each administrative official (see page 3) must implement a system of controls to insure both the integrity and security of data. This system must provide reasonable assurance that transactions are in accordance with the appropriate authorization and are recorded in an accurate and timely manner.

Related Policies, Guidelines, and Resources

University of California Business and Finance Bulletins

IS-3, Electronic Information Security

G-46, Guidelines for the Purchase and Use of Cellular Phones and Other Portable Electronic Resources

BUS-65, Guidelines for University Mail Services

University of California Electronic Communications Policy

University of California Policy on Use of Recordings for Course Presentations

University of California Policies Applying to Campus Activities, Organizations, and Students

University of California Policy and Guidelines on the Reproduction of Copyrighted Materials for Teaching and Research

University of California Policy on Copyright Ownership

UC Irvine Administrative Policies & Procedures

Section 714-15 Policy on Access to University Administrative Information System

Section 714-18 Computer and Network Use Policy

Section 801 Policy on Mail Services, Shipping, and Receiving

Section 800-13 UCInet Guidelines

Section 800-15 UCI Guidelines for the UC Electronic Communications Policy

Section 800-16 World Wide Web Policy

Section 800-18 Security Guidelines for Computers and Devices Connected to UCInet

Section 800-20 Zot Mail Guidelines

Reporting of Suspected Violations

Employees should report suspected violations of applicable laws, regulations, contract and grant requirements, or University policies. This reporting should be made initially through normal management channels, beginning with the immediate supervisor.

Alternatively, employees may report suspected violations to a higher level of management or to the Director of Internal Audit Services, the Executive Vice Chancellor, Ombudsman, Human Resources, Controller, or Counsel.

Violations in specific areas should be reported as follows:

- ◆ Report human or animal subject violations to Research Conduct Administration.
- ◆ Report violations related to grant or contract awards or proposals to Sponsored Projects Administration.
- ◆ Report violations related to research, including scientific misconduct, to the Vice Chancellor for Research.
- ◆ Report allegations of discrimination or harassment to the Office of Equal Opportunity and Diversity.

Employees are expected to cooperate fully with investigations of possible misconduct.

Related Policies, Guidelines, and Resources

University of California Business and Finance Bulletins

IA Series, Internal Audit

University of California Policy on Reporting and Investigating Allegations of Suspected Improper Governmental Activities (Whistleblower Policy)

University of California Policy for Protection of Whistleblowers from Retaliation and Guidelines for Reviewing Retaliation (Whistleblower Protection Policy)

UC Irvine Administrative Policies & Procedures

Section 700-06 Guidelines for Reporting Improper Activities and for Filing Complaints of Retaliation for Reporting Improper Activities

Section 700-18 Guidelines for Discrimination Complaint Resolution

Section 710-10 Internal Audit

Office of Equal Opportunity and Diversity

Informal Conflict Resolution

UC Irvine is committed to providing individuals a safe, neutral process for the resolution of conflict — a process that is fair, efficient, and free from reprisal. Recognizing that individuals share in the responsibility for resolving conflicts, UC Irvine encourages and facilitates informal conflict resolution.

- ◆ The University encourages individuals involved in a conflict to attempt resolution on an informal basis.
- ◆ Issues should first be brought to the attention of the appropriate individual(s).
- ◆ Administrative officials are encouraged to facilitate conflict resolution so that employees feel comfortable seeking resolution within the department.
- ◆ All parties involved in the resolution process should encourage open communication and cooperative problem solving.
- ◆ All parties involved in the resolution process should focus on the real issues and concentrate on a mutually equitable resolution.
- ◆ Employees may seek assistance from Human Resources, Ombudsman, Equal Opportunity and Diversity, or other support offices for clarification of disputed issues, information regarding available options and pertinent policies, articulation of interests and possible remedies, or referral resources.

Related Policies, Guidelines, and Resources

Personnel Policies for UC Staff Members

University of California Policies on Faculty Conduct and the Administration of Discipline

Resources

Academic Personnel	www.ap.uci.edu
Administrative Policies and Procedures	www.policies.uci.edu
Analytical Studies and Information Management	www.oas.uci.edu
Conflict of Interest	www.rgs.uci.edu/rig/
Compliance Office, COM	www.ucihs.uci.edu/com
Environmental Health and Safety	www.ehs.uci.edu
Equal Opportunity and Diversity	www.eod.uci.edu
Human Resources	www.hr.uci.edu
Internal Audit Services	www.audit.uci.edu
Controller's Office	www.internalcontrols.uci.edu
Material and Risk Management	snap.uci.edu
Ombudsman	www.ombuds.uci.edu
Police	www.police.uci.edu
Research Administration	www.rgs.uci.edu
Technology Alliances	www.rgs.uci.edu/rig/ota/otaindex.htm

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This guide will be revised periodically.
Please address comments to the Controller's Office at bizconduct@uci.edu

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