



COCD Code of Conduct

(A) *Introduction, purpose & scope*

(1) *Introduction*

As members of the Cross Over Community Development (COCD) community, all faculty, staff, students, Advisory Board members, officers and affiliates are responsible for maintaining the highest ethical standards of this institution, and of the broader community in which we function. COCD values integrity, honesty and fairness and strives to integrate these values into its teaching, service, activities in general and business practices.

(2) *Purpose*

This code of conduct (the “code”) is a statement of COCD’s commitment to upholding the ethical, professional and legal standards we use as the basis for our daily and long-term decisions and actions. We all must be cognizant of and comply with the relevant policies, standards, laws and regulations that govern or relate to our role in the university community. We are each individually accountable for our own actions and, as members of the COCD community, are collectively accountable for upholding these standards of behavior and for compliance with all applicable laws and policies.

(3) *Scope*

The code applies to the following members of the university community:

- (a) members of the Advisory Board;
- (b) faculty and staff;
- (c) any individual employed by COCD, using COCD resources or facilities, or receiving funds administered by COCD; and
- (d) volunteers and other representatives when speaking or acting on behalf of COCD.

(4) *Violations*

All members of the COCD community are responsible for bringing suspected violations of applicable standards, policies, laws or regulations to the attention of the Executive Director or alternatively the Education Director. COCD policy prohibits retaliation against individuals reporting suspected violations. Confirmed violations will result in appropriate disciplinary action up to and including termination from employment or other relationships with the university. In some circumstances, civil and criminal charges and penalties may apply.

(B) *Guiding principles*

It is vital to COCD’s missions of education, research and service that it maintain a reputation for integrity that includes, but is not limited to, compliance with laws and regulations and its contractual obligations. As a private institution supported by local resources, even the appearance of misconduct or impropriety can be very damaging to COCD. COCD must strive at

all times to maintain the highest standards of quality and integrity. This involves more than merely complying with the law. Frequently, COCD's business activities and the other conduct of its community members are not governed by specific laws or regulations. In these instances, principles of fairness, honesty, and respect for the rights of others will govern our conduct at all times. In addition, each individual is required to conduct university business transactions with the utmost honesty, accuracy and fairness. Each situation needs to be examined in accordance with this standard. No unethical or unfair practice can be tolerated on the grounds that it is "my cultural practice", "customary" or a "standard business practice" for entities or individuals outside of COCD or because it serves other worthy goals. Expediency should never compromise integrity.

In complying with these guiding principles, you should ask yourself the following questions to aid in making the right decision about a possible course of action:

- (1) Are my actions illegal or unethical?
- (2) Am I being fair and honest?
- (3) Would I be embarrassed or unwilling to tell my family, friends or co-workers?
- (4) Would the reputation of UC be harmed if the action were revealed in the newspaper?
- (5) Am I personally uncomfortable with the course of action?
- (6) Could someone's life, health, safety or reputation be endangered by my action?
- (7) Could the intended action appear inappropriate to a third party?

These same questions can be used to evaluate the conduct of others.

(C) Confidentiality and privacy

State ethics laws specifically prohibit the unauthorized disclosure of certain types of confidential, proprietary and private information even after an individual is no longer employed by COCD. It is imperative that each community member complies with all COCD rules, federal laws, state laws, agreements with third parties, and COCD policies and principles pertaining to the use, protection and disclosure of such information.

Student information is protected by Family Educational Rights and Privacy Act (FERPA – student records).

Health Insurance Portability and Accountability Act (HIPAA) protects personal health information).

(D) Conflict of interest/conflict of commitment

COCD faculty and staff owe their primary professional allegiance to the institution and its mission to engage in the highest level of education and wrap-around services. Outside professional activities, private financial interests or the receipt of benefits from third parties can create an actual or perceived conflict between the university mission and an individual's private interests. Such activities may also be unlawful under state ethics and other laws. In order to

protect our primary mission, community members with other professional or financial interests shall make timely disclosure of such interests to either the Executive Director or the Education Director in writing via their respective email addresses.

(E) Fairness and respect

Central to COCD's activities is the principle of treating each community member fairly and with respect. To encourage such behavior, COCD prohibits discrimination and harassment and provides equal opportunities for all community members and applicants regardless of their race, color, religion, national origin, ancestry, disability, medical condition, marital status, sex, age, sexual orientation, veteran status, gender identity and expression or any other characteristic protected by law or policy. Where actions are found to have occurred that violate this standard the university will take prompt action to end the offending conduct, prevent its recurrence and discipline those responsible.

In addition, COCD places significant responsibility on those who supervise or instruct employees or students. Managers, supervisors, instructors, and advisors are expected to:

- (1) ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this code;
- (2) ensure compliance with applicable laws, policies, and workplace rules;
- (3) review performance conscientiously and impartially;
- (4) foster intellectual growth and professional development;
- (5) promote a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns

(F) Records accuracy

All COCD records, whether they concern individual employees, the business dealings of the institution, student records or research endeavors must be accurate, clear and complete. Examples include accounts, financial reports, tax returns, expense reimbursement requests, employee applications for benefits, time sheets and any other record that is submitted to or generated by the university for the purpose of carrying out its business, including those submitted to government agencies. All entries in university books and records, including departmental accounts and individual expense reports, must accurately reflect each transaction.

(G) Compliance with laws and standards

Members of the COCD community must transact university business in compliance with applicable laws, regulations, and university policy and procedure. Managers and supervisors are responsible for being aware of their compliance obligations, for making sure that those persons they supervise are aware as well, and for monitoring compliance.

(1) Contractual obligations

The acceptance of an agreement, including sponsored project funding, may create a legal obligation on the part of the university to comply with the terms and conditions of the agreement and applicable laws and regulations. Therefore, only individuals who have authority delegated by an appropriate COCD official are authorized to enter into agreements on behalf of the institution.

(2) Environmental health & safety, including workplace health and safety

Members of the COCD community must be committed to protecting the health and safety of its members by providing safe workplaces. The university will provide information and training about health and safety hazards and safeguards. Community members must adhere to good health and safety practices and comply with all environmental health and safety laws and regulations.

(H) Use of COCD resources

COCD resources may only be used for official business and not for personal gain or convenience. COCD resources include, but are not limited to, the use of COCD systems, such as telephone systems, data communication and networking services, and the COCD domain for electronic communication forums; the use of COCD equipment, such as computers and peripherals; and the time and effort of other staff, students and others at COCD.

(I) Reporting suspected violations

(1) Reporting to management

Members of the UC community should report suspected violations of applicable laws, regulations, government contract and grant requirements or this code. Reporting should normally be made initially through standard management channels, beginning with the immediate supervisor, instructor or advisor. If for any reason it is not appropriate to report suspected violations to the immediate supervisor (e.g., the suspected violation is by the supervisor), individuals may go to a higher level of management.

(2) Confidentiality

Any reports may be made confidentially, and even anonymously, although the more information given, the easier it is to investigate the reports. Raising such concerns is a service to COCD and will not in itself jeopardize employment.

(3) Cooperation

All employees are expected to cooperate fully in the investigation of any misconduct.

(4) No retaliation

Employees making reports of suspected violations in good faith shall be protected from any retaliation for making such reports.