

## **POLICIES**

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### **Purpose**

The University of Memphis is committed to maintaining the highest ethical standards in furtherance of the University's mission to provide quality education, support world class research and engage in beneficial service in our local and global communities. All employees of the University of Memphis are expected to conduct themselves in accordance with the ethical standards established in this Code of Ethics.

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### **Policy**

#### **Respect for Others**

People are the University's most important resource for accomplishing its vision, mission and goals. It is important that the learning and working environment at the UofM is one in which all employees and students are provided opportunities to excel. Further, the UofM values diversity and inclusion and expects all employees to be committed to fostering an environment in which faculty, staff and students feel valued and supported. Employees are expected to treat one another, students and the community at large in a respectful manner.

The University will not tolerate discrimination against or harassment of any employee, applicant for employment, student or individual attempting to access University benefits, programs or activities on the basis of race, color, ethnic or national origin, religion, creed, sex, sexual orientation, gender identity/expression, disability, age (as applicable), status as a covered veteran or genetic information or any other category protected by federal or state civil rights law.

[GE2039- Sexual Harassment and Sexual/Gender-Misconduct](#)  
[GE2030 - Non-Discrimination and Anti-Harassment](#)

**Financial Responsibility  
and Use of University  
Resources**

University employees are expected to exercise sound business practices, prudent financial management and ethical stewardship in the use of University resources. University resources must not be utilized for personal gain. All University employees have a responsibility to help prevent fraud, waste, or abuse of University resources.

[BF4001- University Travel](#)

[BF4023-Payment Card Industry Compliance](#)

[BF4035-Travel Cards](#)

[HR5065-Employee Debt to the University](#)

**Conflicts of Interest**

The University of Memphis values collaboration and encourages partnerships both within and beyond the University. However, the University is committed to managing potential conflicts of interest and commitment. All University faculty, staff and representatives should avoid both actual and perceived conflicts of interest.

Individual employee conflicts of interest refer to situations in which an individual's or family member's financial, professional or other personal considerations may directly or indirectly affect, or have the appearance of affecting, an individual's professional judgment in performing any University duty or responsibility, including the conducting or reporting of research.

All members of the University are required to disclose if they believe that a conflict of interest may exist either for themselves or with respect to another person. All disclosures of actual or potential conflicts shall be referred to the University's Conflicts Review Committee. Certain University officials and employees (coaches, assistant coaches, Athletic department exempt employees) are required to file financial disclosure forms within one month of their initial appointment and annually in January.

Any University employee responsible for the design, conduct or reporting of a sponsored project at the University must disclose significant personal financial interests related to the Investigator's institutional responsibilities. When the University determines that such an interest might reasonably appear to be directly and significantly affected by the sponsored project, the University will take steps either to manage or to eliminate the conflict of interest.

[HR5055 - Nepotism and Personal Relationships](#)  
[GE2021- Conflict of Interest](#)

## **Research**

The University of Memphis is committed to compliance with applicable local, state and federal laws in the conducting of research as to ensure the integrity of research, protection of the rights of research subjects, faculty, staff and students and the protection and rights of the public. The University of Memphis strives to protect the health, safety and welfare of human and animal research subjects and to conduct research with scientific integrity. All employees who are engaged in any kind of research, whether unfunded or sponsored by the University or an external source, must do so with the highest ethical standards and in accordance with applicable University policy, local, state and federal laws.

[RE7001 - Research Misconduct](#)  
[RE7003 - Disclosure of Financial Interests Related to Sponsored Research](#)  
[RE7007 - Human Subjects Protection](#)

## **Confidentiality, Privacy and Information Security**

The University of Memphis is committed to maintaining a balance between allowing free access to information and securing sensitive information. University policies and federal laws prohibit the unauthorized pursuit and disclosure of sensitive or protected information such as that contained in student and employee records. Therefore, all employees are required to protect and ensure the confidentiality of such sensitive information.

[IT6000 - Data Access](#)  
[IT6004 - Security and Protection of Information Technology Resources](#)  
[IT6005 - Data Security](#)

## **Compliance with State and Federal Laws and University Policy and Procedure**

University of Memphis employees are expected to conduct University business with honesty and integrity, and in compliance with applicable laws, regulations and University policy and procedure.

Non-University and Discipline Specific Professional Standards:  
Some professions and disciplines represented at the University are governed by standards and codes specific to their profession, including but not limited to attorneys, certified public accountants and medical doctors. Those professional

standards generally advance the quality of the profession and/or discipline by developing codes of ethics, conduct and professional responsibility and standards to guide their members. Those belonging to such organizations are expected to adhere to University policies and codes of conduct in addition to any professional standards.

**Responsible Reporting of Violations of University Policy, State and Federal Law**

University of Memphis employees are obligated to report in good faith all violations of University policy, state and federal law, or any concern that a compliance violation may have occurred. Reports of fraud, waste and abuse of University resources should be reported to the University's Office of Internal Audit and Consulting. All other reports of violations of University policies should be reported to the University's Chief Compliance Officer. Reports of state or federal crimes should be reported to University Police Services. Responsible reporting of actual and/or potential conflicts of interests should be reported to the Office of the President for review by the Conflicts Review Committee.

[GE2000 - Occupational Health & Safety](#)

[GE2014 - Reporting Fraud, Waste or Abuse of University Resources](#)

[GE2015 - Preventing Fraud, Waste or Abuse of University Resources](#)

[GE2029 - Lost or Stolen University Property](#)

**False Claims Act**

The University of Memphis requires all faculty and staff to report known or suspected violations of the Federal False Claims Act (FFCA) or the Tennessee False Claims Act, TCA § 4-18-101 et seq (collectively referred to as FCA). A person violates the FCA by knowingly submitting, or causing another to submit, false claims for payment of government funds; making or using a false record or statement to get a claim paid; or engaging in conduct in order to procure anything of value from the state or any political subdivision. In addition, a person is liable under the FCA if they are a beneficiary of an inadvertent submission of a false claim and, after discovering the claim's falsity, fails to disclose it within a reasonable time.

Violations of the FCA should be reported to the University's Office of Internal Audit and Consulting.

For more information about FAR protections and reporting procedures please see:

<https://www.memphis.edu/research/researchers/compliance/whistleblowers.php>.

## Protections Against Retaliation

In Tennessee, employees who report an employer's acts of defrauding the government or who report occupational safety or health violations are protected from retaliation under TCA § 50-1-304 and TCA § 50-3-409.

Employees who report the following types of violations are also protected under the Federal Acquisition Regulation (FAR) Pilot Program:

- Gross mismanagement of a federal contract
- Gross waste of federal funds
- Abuse of authority relating to a federal contract ("abuse of authority" is defined as an "arbitrary and capricious exercise of authority that is inconsistent with the mission of the executive agency . . . or the successful performance of a[n agency] contract [or grant]")
- A substantial and special danger to public health or safety
- A violation of law, rule or regulation related to a federal contract (including the competition for or negotiation of a contract)

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### Links

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[GE2039 - Sexual Harassment and Sexual/Gender-Misconduct](#)  
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