



Human Resources and
Allied Professionals Program



ETHICS AT THE UNIVERSITY OF CALIFORNIA

Susan Thomas

University Counsel

Office of the General Counsel

and

Patrick V. Reed

University Auditor

Office of the President



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Ethics is a hot topic!

Google Search--Matches:

“Ethics”	216,000,000
“Ethics Organizations”	37,400,000
“Ethics Case Studies”	23,500,000
“Code of Ethics”	10,700,000
“Ethical Situations”	9,900,000



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There is a Code of Ethics for Almost Everything!

- *Hackers Code of Ethics* “All information should be free”
- *Cowboy Code (Gene Autry)* “Never shoot first or hit a smaller man”
- *Code of Ethics for Off-Earth Commerce* “Committed to Ensuring a Free Market Economy Off-Earth”

and one conundrum

- *2001 Article in Professional Ethics* “Should Ethicists Have Their Own Code of Ethics?”



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National Business Ethics Survey—2005

Study of trends across US for profit, not-for-profit and government organizations, 1994-2005 by the Ethics Resource Center

- *Formal ethics programs are on the rise- but positive outcomes are not*



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- *Formal ethics and compliance programs do have an impact (such as required by Federal Sentencing Guidelines)*
- *But organizational culture is more influential in determining outcomes.*
- *Organizational culture has changed little over the years of the NBES study.*



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What is Ethical Behavior? One View:

Compliance with Laws, Regulations, Formal Policies & Procedures

+

*Compliance with Standards of the Community**

+

Good Judgment

**UC Statement of Ethical Values/Standards of Ethical Conduct*



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Overview of UC Statement of Ethical Values & Standards of Ethical Conduct

- *Origin & History*
- *Relationship to Existing Policies & Procedures*
- *Roll-Out Strategy & Timeline*

Participant Discussion



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UNIVERSITY OF CALIFORNIA

Statement of Ethical Values

Members of the University of California community are committed to the highest ethical standards in furtherance of our mission of teaching, research and public service. We recognize that we hold the University in trust for the people of the State of California. Our policies, procedures, and standards provide guidance for application of the ethical values stated below in our daily life and work as members of this community. We are committed to:



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Integrity. We will conduct ourselves with integrity in our dealings with and on behalf of the University.

Excellence. We will conscientiously strive for excellence in our work.

Accountability. We will be accountable as individuals and as members of this community for our ethical conduct and for compliance with applicable laws and University policies and directives.

Respect. We will respect the rights and dignity of others.



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The University's *Statement on Ethical Values and Standards of Ethical Conduct* commits everyone in the UC community to the highest ethical standards in furtherance of the University's mission of teaching, research, and public service. It identifies the University's core ethical values as integrity, excellence, accountability, and respect.

In summary, we are committed to the following:



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- 1. Fair Dealing.** We will always conduct ourselves ethically, honestly, and with integrity.
- 2. Individual Responsibility and Accountability.** We will accept responsibility appropriate to our positions and delegated authorities.
- 3. Respect for Others.** We will treat everyone we contact with respect and dignity.
- 4. Compliance with Applicable Laws and Regulations.** We will learn and abide by federal, state, and local laws that affect our campus roles.



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- 5. Compliance with Applicable University Policies, Procedures and Other Forms of Guidance.** We will learn and abide by University and campus policies and procedures that affect our campus roles.
- 6. Conflicts of Interest or Commitment.** We will avoid both actual conflicts of interest and the appearance of such conflicts, and devote our primary professional allegiance to the University and its mission of teaching, research, and public service.
- 7. Ethical Conduct of Research.** We will conduct our research with integrity and intellectual honesty, and show the greatest care for human or animal subjects.
- 8. Records: Confidentiality/Privacy and Access.** We will follow applicable laws and University policies when accessing, using, protecting, or disclosing records.



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- 9. Internal Controls.** We will ensure that internal controls are established, properly documented, and maintained for activities within our jurisdiction.
- 10. Use of University Resources.** We will ensure that campus resources are used only on behalf of the University.
- 11. Financial Reporting.** We will ensure that accounting and financial records are accurate, clear, and complete.
- 12. Reporting Violations and Protection from Retaliation.** We will report all known or suspected improper governmental activities under the provisions of the University's *Whistleblower Policy*, recognizing that everyone is protected from retaliation for making such reports under the *Whistleblower Retaliation Policy*.



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UC Statement of Ethical Values & Standards of Ethical Conduct—Participant Discussion

- Discussion of Elements, and Participant Interpretation of Practical Application
- Solicitation of Input on Hypotheticals for Training
- Discussion of Hypothetical Ethical Dilemmas
- Discussion of Role of the Ethics Officer—OP & Campus



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UC Statement of Ethical Values & Standards of Ethical Conduct—Participant Discussion

- How can UC assure the public, and the Legislature that the reforms we are putting in place will promote real and lasting change?
- What is the HR professional's role in the cultural change? In the assurance?



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