

Policy and Resources

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Stanford Ethics 101

Agenda Topics



- Policy sources
- Changing regulatory environment
- University – employee partnership
 - Policies for the work environment
 - Code of Conduct

Stanford characteristics



- Embrace new ideas and technology
- Stay as flexible as possible
- Keep a sense of human scale

Policy Guides: Internal



<u>Topic</u>	<u>Policy Guide</u>
➤ Academic	➤ Faculty Handbook (FH)
➤ Administration	➤ Administrative Guide (AGM)
➤ Research	➤ FH, AGM and Research Policy Handbook (RPH)

For example, AGM 22.5 = Administrative Guide Memo, Chapter 2, section 2.5. It is the University's vacation policy.

External Regulations



<u>Topic</u>	<u>Authority</u>
➤ Non-profit status	➤ Internal Revenue Service (IRS)
➤ Accounting	➤ Office of Naval Research (ONR) and the Defense Contract Audit Agency (DCAA)
➤ Work Environment	➤ Environmental Protection Agency (EPA), Cal-OSHA, Equal Opportunity Commission (EOC), etc.
➤ Land Use	➤ Santa Clara County San Mateo County City of Palo Alto

Changing Regulatory Environment



Examples of recent changes. . .

- CAS: Cost Accounting Standards apply federal accounting rules to all income and expenditures, not just federally funded research projects.
- Hazardous Waste Management: stricter audits and controls
- General Use Permit: plan which guides development of Stanford land within Santa Clara County. Approved by the County, December 2000.

University–Employee Partnership



- The University respects each person's worth, dignity, capacity to contribute, and desire for personal growth and accomplishment.
- In return, Stanford depends on its staff to share a common commitment to achieve the University's goals.

Policies for the Work Environment



- Equal Opportunity and Affirmative Action
- Working with Disabilities
- Sexual Harassment
- Smoke-Free Environment
- Controlled Substances and Alcohol
- Violence in the Workplace
- Workers' Compensation
- Training Opportunities

Equal Opportunity & Affirmative Action



We prohibit discrimination and harassment and provide equal opportunity for all employees and applicants for employment regardless of:

- race
- color
- religious creed
- national origin
- ancestry
- sex
- sexual orientation
- veteran status
- marital status
- age
- disability (including HIV and AIDS)
- medical condition

Working with Disabilities



- Employees are responsible for initiating requests for accommodation
- Support programs are coordinated by the Office of Multicultural Development

Sexual Harassment



- University community a place free of sexual harassment, intimidation and exploitation
- Sexual Harassment Advisors at each School and large work unit
- Contact Sexual Harassment Policy Office or Ombudsperson with concerns
- Sexual Harassment briefing required of all new employees

Smoke-Free Environment



- Smoking is prohibited in all enclosed places: offices, dorms, University-owned vehicles, indoor and outdoor events
- Smoking cessation programs are offered by HIP (Health Improvement Program)

Controlled Substances & Alcohol



- Stanford's policy is to maintain a drug-free workplace and campus.
- Applies to all Stanford premises where the activities of the University are conducted.
- The Help Center offers confidential advice and counseling.
- Serving alcohol? Provide EANABs (Equally Attractive Non-Alcoholic Beverages)

Violence in the Workplace



- Zero tolerance for violence or threats of violence.
- Weapons are banned from University premises unless written permission is given by the University Police.
- Call 9-911 (911 from a pay phone -- no coin needed)
- Take precautions for your own safety.

Workers' Compensation



- Notify your supervisor right away.
- Get treatment at the Stanford Hospital or Environmental Health & Safety (EH&S) Occupational Health Clinic.
- You may pre-designate your own physician. Complete the form
- Contact Risk Management for more details.

Solving Workplace Problems



Resources:

- Supervisor
- Human Resource Officer
- Help Center
- Ombudsman

Code of Conduct



“Since it was founded, one of the keystones of Stanford University’s success has been integrity in its dealings with people both inside and outside the University.”

Administrative Guide Memo 15

Keystones of Success



Integrity & Ethics

Trust

Respect

Honesty

Fairness

Open communication

Compliance

Training

Accountability & Responsibilities



Donors

Parents

Students

Government

Faculty and staff

Other sponsors

Commitment to Integrity



- Understand Stanford's Code of Conduct and Business Ethics
- Treat all employees fairly and respectfully
- Help all employees resolve ethical issues promptly & confidentially
- Be sensitive to illegal, unethical or improper actions

Code of Conduct in a Nutshell



- Value Individual Diversity
- Use Stanford Resources Wisely
- Accurately Record Business Travel and Expenses
- Account for Transactions Accurately and Reliably
- Record Time both Timely and Accurately
- Use of Stanford Name and Identity
- Use Computing Software and Resources Appropriately

Business Ethics in a Nutshell



- Conflict of Interest or Commitment
- Donor and Vendor Relationships
- Entertainment and Gifts
- Confidentiality
- Compliance

Confidential Information



- The University is entrusted with confidential, proprietary and private information
- If you have access to this information, do not make any unauthorized disclosures of the information either during or after employment.
- “Principles of Privacy in the University”

Examples of Confidential Documents



Electronic Documents

- University databases
- Access/passwords
- Salary data
- E-mail

Other paper documents

- Performance Evaluations
- HR information
- Medical Records

Consequences of Violations



- Responsible for ensuring our own conduct and the conduct of anyone reporting to us complies with this Code and with Stanford's policies
- Receive appropriate disciplinary action up to and including discharge from employment
- Conduct representing a violation of this Code may subject an individual to civil or criminal charges and penalties

If in an ethical dilemma, . . .



ask yourself if your actions would:

- Endanger anyone's life, health, or safety?
- Violate any federal, state or local laws, rules or regulations? University policies or practices?
- Embarrass me to tell my boss, fellow employees, friends and family?
- Appear to be inappropriate, dishonest or have potential to embarrass the University?

The Newspaper Front Page Test



To help resolve ethical dilemmas, apply the Newspaper Front Page Test

“Contemplating any business act, an employee should ask himself whether he would be willing to see it immediately described by an informed and critical reporter on the front page of his local paper, there to be read by his spouse, children, and friends.”

Warren E. Buffet

What if you suspect unethical
behavior?



Call the Internal Audit &
Institutional Compliance Department
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