



**ACKNOWLEDGEMENT OF POLICIES OF
UNIVERSITY OF MOUNT UNION**

I acknowledge that I have received a copy of the following policies of the University of Mount Union:

Title IX

FERPA

Acts of Intolerance and Harassment Title IX

Safety Policy

Business Conduct and Ethics

I understand and agree that I have an obligation to read, understand and fully comply with these and other policies of the University of Mount Union anytime I am on the campus of the University of Mount Union or volunteering services relating to the University of Mount Union or the University of Mount Union students.

Signature

Date

Title IX GOV 4.0

Human Resources/ Academic Affairs/Student Affairs

Policy Type: Institutional

Applies to: Faculty, staff, student employees, students, and volunteers

POLICY DATES (required)

Issued:

Revised:

Edited:

The University of Mount Union is committed to creating an environment free of harassment and sexual misconduct as well as complying with all requirements as set forth by Title IX of the Education Amendments of 1972 (Title IX).

Definitions

Term	Definition
Harassment	Harassment includes, but is not limited to, any unwelcome verbal or non-verbal conduct directed at an individual or group of individuals due to their race, religion, ethnic origin, gender, sexual orientation, or disability, when such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive environment for working, learning, or living on campus

Policy Details (optional)

Discrimination on the basis of sex or gender will not be tolerated by any of the University's education programs or activities. This includes, but is not limited to sexual harassment; sexual violence; sex or gender-based bullying; hazing, stalking; relationship violence (including domestic violence and dating violence, as well as failure to provide equal opportunity in admissions, activities, employment or athletics. Sex and gender violations will be addressed by Title IX complaint protocols which are jointly coordinated by the offices of human resources and student affairs

PROCEDURE (required)

Issued:

Revised:

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Reviewed:

- I. The University Title IX Co-Coordinator will be informed of, and oversee, all complaints of discrimination.
- II. Questions or concerns regarding the University's procedures and Title IX may be directed to any one of the following resources:
 - a. Associate Dean of Students
 - b. Director of Human Resources

Responsibilities (required)

Position or Office	Responsibilities
Associate Dean of Students	Listen to and provide information to students with complaints Arrange a meeting between the two parties and assist in the discussion of the complaint Assist complainant in the completion of the formal grievance process Discuss reports with the complainant to ensure clear and thorough understanding of the allegations Contact the accused student to discuss the accusation
Director of Human Resources	Discuss the complaint with the complainant Discuss the allegations with the Associate Dean of Students if appropriate If desired by complainant, arrange a meeting between the students and the accused faculty/staff member Assist in the discussion of the complaint Assist the complainant in the completion of the formal grievance procedure Discuss reports with the complainant to ensure clear and thorough understanding of the allegations Contact the appropriate vice president and advise them of the accusations Contact the accused and conduct a thorough investigation Determine if the accusations can be substantiated

Resources (required for any resource referred to in the policy)

Contacts (required)

Position	Office	Telephone	E-mail/URL
Associate Dean of Students	Student Affairs	(330) 823 – 7288	STUDENT_AFFAIRS@mountunion.edu
Director of Human Resources	Human Resources	(330) 829 – 6560	HUMANRESOURCES@mountunion.edu

History (required)

All changes must be listed sequentially, including edits and reviews. Note when the policy name or number changes.

Issued:

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Family Educational Rights and Privacy Act

In accordance with the Family Educational Rights and Privacy Act (commonly referred to as FERPA, or the "Buckley Amendment,") Mount Union has adopted the following policies and procedures to protect the privacy of educational records. Students will be notified of their FERPA rights annually by publication in the Mount Union Catalogue and on the University's web site.

1. Definitions

Mount Union uses the following definitions in this policy:

Student: any person who attends or has attended the University.

Education records: any record in whatever form (handwritten, taped, print, film or other medium) which is maintained by the University and is directly related to a student, with the following exceptions:

- personal records kept by a University staff member if the record is not revealed to others and is kept in the sole possession of the staff member;
- student employment records that relate exclusively to the student in the capacity of an employee;
- records maintained separately from educational records solely for law enforcement agencies of the same jurisdiction;
- counseling records maintained by the University Chaplain or the University Counselor;
- medical records maintained by the University solely for treatment and made available only to those persons providing treatment; and
- Office of Alumni Activities records.

2. Rights Under FERPA

A student shall have the right, and parents of a dependent student may have the right, to do the following:

- Inspect and review the student's education records;
- Request that the student's education records be amended to ensure the records are not inaccurate, misleading, or otherwise in violation of a student's privacy or other rights;
- Consent to disclosures of personally identifiable information contained in the student's educational records, except to the extent that FERPA authorizes disclosure without consent;
- File a complaint with the U.S. Department of Education concerning the failure of the University to comply with the requirements of FERPA; and
- Obtain a copy of the University's student records policy from the Office of the Registrar.

3. Procedure to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate record custodian(s). Students must submit a written request that identifies as precisely as possible the record(s) the student wishes to inspect.

Access will be provided within 45 days of the written request. Information contained in educational records will be fully explained and interpreted to students by University personnel assigned to, and designated by, the appropriate office.

Student records are maintained in the following offices:

- admissions and academic records in the Office of the Registrar;
- financial aid records in the Office of Student Financial Services;
- financial records in the Office of Business Affairs;
- progress and advising records in the departmental offices and faculty offices;
- disability-related records in Office of Student Accessibility Services;
- counseling records in the Office of the Chaplain and Counseling Services;
- academic dishonesty records in the Office of Academic Affairs;
- disciplinary and student conduct records in the Office of Student Affairs.

4. Right of the University to Refuse Access

The University reserves the right to refuse to permit a student to inspect the following information:

- the financial statement of the student's parents;
- letters of recommendation for which the student has waived his or her right of access;
- records of applicants who were neither admitted to nor attended Mount Union;
- records containing information about more than one student, in which case the University will permit access only to that part of the record which pertains to the inquiring student; and
- records which are excluded from the FERPA definition of educational records.

5. Right to Challenge Information in Records

Students have the right to challenge the content of their education records if they consider the information contained therein to be inaccurate, misleading, or inappropriate. This includes an opportunity to amend the records or insert written explanations by the student into such records. The student may not initiate a FERPA challenge of a grade awarded unless it was inaccurately recorded; in such cases the correct grade will be recorded.

6. Procedures for Hearings to Challenge Records

Students wishing to challenge the content of their education records must submit, in writing to the appropriate office, a request for a hearing which includes the specific information in question and the reasons for the challenge.

Hearings will be conducted by a University official who does not have a direct interest in the outcome of the hearing. Students will be afforded a full and fair opportunity to

present evidence relevant to the reasons for the challenge. The hearing officer will render a decision in writing, within a reasonable period of time, noting the reason and summarizing all evidence presented.

If the hearing results are in favor of the student, the record shall be amended. Should the request be denied, an appeal may be made, in writing, and submitted to the Office of the Registrar within 10 days of the student's notification by the hearing officer. The appeal shall be heard by an Appeals Board of three disinterested senior University officials. The board will render a decision, in writing, within a reasonable period of time.

Should the appeal decision be in favor of the student, the record shall be amended accordingly. Should the appeal be denied, the student may choose to place a statement with the record commenting on the accuracy of the information in the record and/or setting forth any basis for inaccuracy. As long as the student's record is maintained by the University, when disclosed to an authorized party, the record will always include the student's statement and the board's decision.

7. Disclosure of Education Records

The University will disclose "non-directory" information contained in a student's educational record only with written consent of the student, with the following exceptions:

- to school officials, including teachers, who have a legitimate educational interest in the record;
- to officials of another school in which the student seeks or intends to enroll;
- to federal, state and local agencies and authorities as provided under law;
- to the parents of an eligible student if the student is claimed as a dependent for income tax purposes;
- accrediting organizations;
- to comply with a judicial order or lawfully issued subpoena;
- emergencies affecting the health or safety of the student or other persons; and
- as otherwise permitted by FERPA.
- Any student who wishes to authorize release of his or her grades to one or both parents should
- complete a disclosure form in the Office of the Registrar.

8. Directory Information

Disclosure of directory information normally may be made without the student's consent. Directory information includes the student's name; school and permanent addresses; school, permanent and cellular telephone numbers; school mail box address; school email address; date and place of birth; majors and minors; dates of attendance; enrollment status; class level; degree(s) received and dates of conferral; honors and awards earned; previous institutions attended; weight and height of athletes; participation in officially recognized activities and sports; and photograph.

A student who wishes to have all directory information withheld must submit an 'Authorization to Withhold Directory Information' form to Office of the Registrar. The

hold will become effective the first day of class in the next regular semester (Fall or Spring). Once filed, this request becomes a permanent part of the student's record until the student instructs the Office of the Registrar in writing to have the request removed. Because the University's computer system is unable to put a "hold" on selective directory information, all directory information will be placed on hold, or all directory information except name and email address will be placed on hold. Moreover, this request does not restrict the release of this information to individuals and agencies listed in "Disclosure of Education Records" above.

Acts of Intolerance and Harassment GOV 1.0

Human Resources/Academic Affairs/Student Affairs

Policy type: Institutional (institutional, administrative, operational)
Applies to: faculty, staff, student employees, students, and volunteers

POLICY DATES (required)

Issued: 7/1/2016

Last Revised:

Reviewed:

The University of Mount Union will not tolerate behavior that in any way undermines the emotional, physical or ethical integrity of any member of its community.

Definitions

Term	Definition
Harassment	Includes, but is not limited to, any unwelcome verbal or non-verbal conduct directed at an individual or group of individuals due to their race, religion, ethnic origin, gender, sexual orientation, or disability, when such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive environment for working, learning, or living on campus.
Sexual Harassment	Sexual harassment includes unwelcome sexual advances, requests for sexual favors and other physical or verbal conduct of a sexual nature when it meets any of the following: <ol style="list-style-type: none">1. Submission to such conduct is either explicitly or implicitly made a condition of employment or academic standing or where there is an implied or expressed promise of reward or threat of negative consequence for refusal;2. Submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual; or3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive environment for working learning or living on campus

Policy Details (required)

As an educational community, Mount Union has made a commitment to work toward a campus that is free from discrimination and that celebrates the diversity of its various community members.

Mount Union seeks to protect and enhance the personal safety, dignity, and self-respect of each member of the campus community. Moreover, the University will use its influence to encourage the entire community to treat its students, faculty, staff and affiliated visitors in a manner consistent with the principles of this statement. Academic freedom can only exist when all are free to pursue ideas in a non-threatening, non-coercive atmosphere of mutual respect.

It is imperative that campus community members report acts of intolerance. If these acts go unreported, then the opportunity for assistance and education is lost. Silence perpetuates the idea that there are no problems stemming from intolerant behavior at Mount Union. Any incident of discrimination or

harassment that involves race, gender, sexual orientation, religion, disability, age, economic status or national origin should be reported.

Nothing in this document shall be construed to limit an individual's rights to freedom of political or artistic expression, or other expressions of an academic nature. In particular, the expression of political opinions about issues both on campus and in the wider national and international community explicitly does not constitute harassment. Works of art created or presented by students, faculty and other members of the community are similarly protected.

PROCEDURE (required)

- I. Grievance Procedure for Acts of Intolerance or Harassment
 - a. Informal Grievance Procedure
 - i. Any campus community member with a complaint of harassment against a student should discuss this complaint with the associate dean of students*. If appropriate and desired by the complainant, the associate dean of students will arrange a meeting between the two parties and assist in the discussion of the complaint. The complainant has the right to end this informal grievance process at any time and proceed to the formal grievance procedure. If the complainant does not desire an informal meeting, the associate dean of students will assist him/her in the completion of the formal grievance procedure outlined below. The informal grievance procedure will not be used to address complaints that involve sexual assault.
 - b. Formal Grievance Procedure
 - i. Any campus community member who wishes to make a formal complaint of harassment against a student should submit a detailed written report about the allegations to the associate dean of students*. The report should include information about the dates, time, place, participants' names and the harassing behavior. The associate dean of students will discuss the report with the complainant to ensure clear and thorough understanding of the allegations. Every effort will be made to maintain the confidentiality of information regarding the complaint.
 - ii. The associate dean of students, with the knowledge of the complainant, will contact the accused student to discuss the accusation. Investigation of a harassment complaint may include interviewing other persons necessary to obtain sufficient information on which to make a determination of the situation. The accused student will receive written notice of the allegations and the specific violations of the Student Code of Conduct with which the student is being charged.
 - iii. A hearing will be scheduled before an administrative hearing officer or Student Conduct Board, as assigned by the dean of students or his/her designee. The accused student and the complainant will be afforded all rights outlined in the procedures of the Student Disciplinary Process, which can be found in the Student Handbook.
 - iv. The hearing officer or Board will make a determination of responsibility based upon the preponderance of evidence. If the accused student is found to be responsible for the alleged harassment, he/she will be sanctioned in accordance with the Student Code of Conduct. Based on Title IX of the 1972 Educational Amendments, the complainant will be informed of the determination of responsibility. However, the Family Educational Right to Privacy Act prohibits the disclosure to the complainant of any sanctions placed against the accused student unless they directly involve the complainant (i.e. letters of apology to

complainant, restrictions on contact, etc.), or if the accused student is charged with a crime of violence against the complainant.

- v. Disciplinary action shall be taken against any person found to have willfully falsified a claim of harassment. It is also a violation of this policy to retaliate against another member of the campus community for bringing forward a claim of harassment.

II. Procedures for Faculty/Staff Member to Student Harassment

a. Informal Grievance Procedure

- i. Any student with a complaint of harassment against a faculty or staff member should discuss this complaint with the associate dean of students*. If appropriate the associate dean of students will contact the director of human resources and employee development to discuss the allegations.
- ii. If desired by the complainant, the director of human resources and employee development will arrange a meeting between the student and the accused faculty/staff member and assist in the discussion of the complaint. The associate dean of students may act in an advisory role for the student upon his/her request.
- iii. The complainant has the right to end this informal grievance process at any time and proceed to the formal grievance procedure.
- iv. If the complainant does not desire an informal meeting, the associate dean of students and the director of human resources and employee development will assist him/her in the completion of the formal grievance procedure outlined below.
- v. The informal grievance procedure will not be used to address complaints that involve sexual assault.

b. Formal Grievance Procedure

- i. Any student who wishes to make a formal complaint of harassment against a faculty/staff member should submit a detailed written report about the allegations to the director of human resources and employee development.
- ii. The report must include information about the dates, times, place, participants' name(s), and the harassing behavior.
- iii. The director of human resources and employee development will discuss the report with the complainant to ensure clear and thorough understanding of the allegations. Every effort will be made to maintain the confidentiality of information regarding the complaint.
- iv. The director of human resources and employee development will contact the appropriate vice president and advise him or her of the accusations.
- v. The director of human resources and employee development, with the knowledge of the complainant, will contact the accused to conduct a thorough investigation of the allegations.
- vi. Investigation of a harassment complaint may include interviewing other persons necessary to obtain sufficient information on which to make a determination of the situation.
- vii. The director of human resources and employee development will then make a determination if the accusations can be substantiated and, if so, refer the accusations to the appropriate vice president for action in accordance with the guidelines specified in the appropriate personnel handbook.
- viii. Disciplinary action shall be taken against any person found to have willfully falsified a claim of harassment. It is also a violation of this policy to retaliate against any person found to have willfully falsified a claim of harassment.
- ix. It is also a violation of this policy to retaliate against another member of the campus community for bringing forward a claim of harassment.

Responsibilities (required)

Position or Office	Responsibilities
Associate Dean	Listen to and provide information to students with complaints Arrange a meeting between the two parties and assist in the discussion of the complaint Assist complainant in the completion of the formal grievance process Discuss reports with the complainant to ensure clear and thorough understanding of the allegations Contact the accused student to discuss the accusation
Director of Human Resources	Discuss the complaint with the complainant Discuss the allegations with the Associate Dean of Students if appropriate If desired by complainant, arrange a meeting between the students and the accused faculty/staff member Assist in the discussion of the complaint Assist the complainant in the completion of the formal grievance procedure Discuss reports with the complainant to ensure clear and thorough understanding of the allegations Contact the appropriate vice president and advise them of the accusations Contact the accused and conduct a thorough investigation Determine if the accusations can be substantiated

Resources (required for any resource referred to in the policy)

- Office of Diversity and Inclusion
- Office of Counseling Services

Contacts (required)

Position	Office	Telephone	E-mail/URL
Associate Dean of Students	Student Affairs	(330) 823 – 2243	Studentaffairs@mountunion.edu
Director of Human Resources	Human Resources	(330) 829 – 6560	humanresources@mountunion.edu

History (Optional)

All changes must be listed sequentially, including edits and reviews. Note when the policy name or number changes.

Issued:

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THE UNIVERSITY OF MOUNT UNION
SAFETY POLICY

The University of Mount Union is concerned about the safety and physical well-being of the faculty, staff and students who work on our campus. Therefore, we have a commitment to safety! We have a goal to annually reduce workplace accidents, especially those which result in injuries or illness.

To achieve our goals, we promote safety. We provide our employees with various educational opportunities throughout the year. When appropriate, we will bring instructors, trainers, tools and technology to the campus. In addition, we will send faculty and staff offsite for additional educational and training opportunities if necessary.

We will make every reasonable effort, financially and logistically, to either modify the workplace or our work practices to ensure safety. We will work with various safety organizations to create and maintain a safer work environment.

We strongly encourage the faculty, staff and students to report **any** safety related issues to their supervisors. The supervisor will then escalate the issue to the appropriate department until a reasonable accommodation is made or until the issue(s) is completely resolved.

Employees must follow all safety procedures that have been put into place. Anyone found not following safety procedures could face disciplinary action up to and including termination.

The following rules have been prepared for the protection of every employee. All employees will receive a copy of these rules and will be expected to abide by them. No rule book can cover every situation. When in doubt about a situation, condition or procedure, ask your supervisor. Under no circumstance are you to risk injury in carrying out your work.

Patrick Heddleston
Vice President for Business Affairs and Treasurer

The University of Mount Union Safety Rules

The College intends to provide a safe and healthy working environment. To achieve this, we must constantly be aware of conditions in each individual's work area that can produce injuries. No employee is required to work at a job that is not safe or healthful. Employee cooperation in detecting hazards, and in tum controlling them, is a condition of employment. The following general rules and procedures govern all employees and all company operations.

General Directives:

1. All employees of the College, by Law [Sec. 5(b) Occupational Safety and Health Act of 1970] shall follow these safety rules and practices. Employees must inform their supervisor immediately of any situation beyond their ability or authority to correct.
2. Supervisors shall insist that employees observe and obey every safety rule, regulation, and order as necessary for the safe conduct of the work, and shall take such action as is necessary to obtain compliance.
3. Only qualified and/or licensed employees may operate any piece of equipment.
4. Anyone known to be under the influence of alcohol and/or drugs shall not be allowed on the job while in that condition.
5. No one shall knowingly be permitted to work while his or her ability or alertness is impaired by fatigue, illness, or other causes that may unnecessarily expose the individual or others to injury.
6. Work shall be planned and supervised to prevent injuries in all work processes, particularly when working with machinery and equipment or handling heavy materials.
7. Employees shall report any personal injury or damage to property to their supervisor, no matter how trivial, regardless of the amount of damage and irrespective of cause or fault within 24 hours.

Supervisor's Responsibilities:

- I. To set examples of safe practices by their own conduct.
2. To investigate and correct, or have corrected promptly, unsafe conditions which have come to their attention.
3. To know, observe and enforce all the general safety rules and such special instructions as are set up for their department.
4. To thoroughly acquaint each employee with safety instructions and practices.
5. To take part in work place safety and health program activities and contribute to their success.
6. To investigate and report all personal injuries and illnesses sustained on the job by the personnel within their area of responsibility.
7. To investigate and report all property damage accidents.
8. To welcome and utilize, as far as practical, the safety suggestions which may be made by the workers.
9. To thoroughly instruct new personnel on safety and carefully observe them at their work.
10. To see that the workers have access to and utilize personal protective equipment as determined by the safety coordinator.
11. To see that all tools and equipment are and remain in safe and proper working order.

General Safety Rules:

1. Be alert to see that all guards and other protective devices are in their proper places and adjusted. Report all deficiencies promptly to your supervisor.
2. Horseplay, scuffling, and other acts which tend to endanger the safety or well-being of employees are prohibited.
3. Follow safety rules applicable to job responsibilities and use safety devices and personal protective equipment as required and directed.
4. Only authorized employees may operate machines and equipment for which they are qualified.
5. Obey all posted warning and/or instructional signs.
6. Do not use equipment that has been tagged out until repairs have been made and the tags have been removed by authorized personnel.
7. Be responsible for housekeeping in your work areas and keep the area clean.
8. Do not wear loose frayed clothing, dangling items, finger rings, etc. around moving machinery or other sources of entanglement.
9. The access to all fire extinguishers, fire hoses, sprinkler valves, electrical panel boxes, and exits must be kept clear at all times. Report any blockage to your supervisor.
10. Keep flammable liquids only in the proper designated storage area.
11. Riders are prohibited on lift equipment unless the equipment is specially designed for this purpose.
12. Guards or safety devices are not to be removed, except by authorized personnel, for purpose of making repairs or cleaning and must be replaced immediately there after.
13. Broken pallets should not be used for storage of merchandise. Any broken pallets should be disposed of.
14. Do not walk on, climb over, or crawl under conveyers.
15. The throwing of objects, such as merchandise, rolls of shrink-wrap or tape, tools, etc., is forbidden.
16. Smoking is prohibited in all buildings and in College vehicles.
17. Adequate fire protection equipment, such as hoses, extinguishers, etc. are located at designated points on the campus. This equipment is provided for employee's protection as well as for the protection of property and equipment. All employees should help take care of this equipment.
18. Employees should report any defective, damaged or missing fire protection equipment to their supervisor.
19. All aisles must be kept clear and open for traffic.
20. Employees should never walk under an up-raised load.

These rules are not meant to be all-inclusive since many departments have more specific rules that are necessary for a smooth and safe operation. Additions deletions or modifications to these rules will be made anytime it is determined to be necessary for the safety and well-being of all personnel.

SAFETY VIOLATION PROCEDURES

There is a four (4) step corrective action procedure;
First Occurrence: Verbal Warning, Documented in File
Second Occurrence: Written Warning, Documented in File
Third Occurrence: Three-Day Suspension, Documented in File
Fourth Occurrence: Termination

These four steps will be followed at all times with exception of the most serious violations. Serious violations will be handled on a case by case basis depending on their severity. They may result in expedited occurrences and/or immediate discharge on a first occurrence, pending an investigation.

Safety Violations Occurrences will be active for a twelve (12) month period. After twelve (12) months they will be removed from your file. Four occurrences in a (12) month period will be grounds for termination.

Any manager and/or supervisor is authorized to issue safety violation notices, regardless of the employee's department. Violations will be recorded in the employee's personnel file.

The University of Mount Union
Acknowledgement of Safety & Health
Compliance Requirements

This will acknowledge that my employer has informed me of my rights under the OSHA Act of 1970 and has given me a copy of the rules and regulations which are applicable to me on my job and as an employee on the campus. I understand and realize that my compliance with such rules and regulations is a condition of my employment and that my failure to comply may result in my discharge.

Print Name _____

Signature _____

Date _____

TO BE RETAINED IN EMPLOYEE'S PERSONNEL FILE



University of Mount Union

Statement of Business Conduct and Ethics

Published March 2008

Revised August 2011

Revised March 2014

University of Mount Union
Statement of Business Conduct and Ethics
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University of Mount Union Statement of Business Conduct and Ethics Updated March 2014

Introduction

The University of Mount Union is proud of its heritage and long-standing adherence to ethical conduct throughout its organization. Like other complex institutions, Mount Union operates by means of a decentralized organizational structure through which responsibility is delegated for a variety of business functions. Management of this delegated process is achieved through policies and procedures for its administration and through the setting of internal control procedures to monitor its effectiveness.

All faculty and staff charged with the responsibilities of such functions must be familiar with the appropriate policies and procedures covered in this document, as well as those outlined in the following materials:

- Employment Policy Handbooks for Faculty, Administrative Staff, and Hourly Staff, published by the Office of Human Resources
- Mount Union Catalogue, published annually by the Office of Academic Affairs
- Student Handbook, published annually by the Office of Student Affairs

This document is a working guide that has been developed to provide direction on a variety of general business and ethical situations presented to University faculty and staff in their discharge of duties on behalf of the institution. These rules are necessary to effectively manage the business of higher education and meet the ever-changing needs of our marketplace. We are committed to reviewing our policies on a continual basis; thus, this statement on business conduct and ethics may be occasionally modified or revised at times. While it is impossible to address every situation that may arise, this document provides a framework for faculty and staff to draw upon in their evaluation of specific circumstances. Each faculty and staff member is responsible for his or her actions. Violations can result in disciplinary action, including dismissal from employment and possible criminal prosecution.

Mission Statement

The mission of the University of Mount Union is to prepare students for fulfilling lives, meaningful work, and responsible citizenship.

The University is committed to the principles of equal opportunity and equal treatment and access in education and employment. In accepting a position within the faculty or staff at Mount Union, an individual agrees to be committed to these principles in the performance of his or her duties at the University. Mount Union strives to provide its campus community with a work environment that is free of harassment or unreasonable interference with the performance of assigned responsibilities. To that effect, please refer to the University's statement on harassment found within the faculty or staff handbooks for further information.

Confidentiality

Faculty and staff at Mount Union handle or have access to proprietary and private information on behalf of the institution concerning colleagues, students, parents, alumni, donors, or others associated with the institution, as well as confidential information regarding University business. This material may include payroll figures, personal data such as home addresses, donor files, or student records. It is the responsibility of all Mount Union faculty and staff to respect the privacy of their colleagues, students and other members of the greater campus community. Disclosure or discussion of confidential information obtained from University or departmental records, either during or after employment with Mount Union is not permitted unless such disclosure is a normal requirement of an employee's position and has been so authorized. Also, use of any such materials for personal gain is strictly prohibited. If a member of the faculty or staff is confronted with a situation in which he or she is unclear about the appropriateness of disclosing certain information, please consult with a supervisor, the Vice President overseeing your area, or the Office of Human Resources.

For example:

- University faculty and staff expect members of the campus community to exercise great discretion in sharing personal information and their privacy should be respected. Therefore, home addresses or phone numbers of any faculty or staff should not be released without his or her consent, unless in the case of an emergency that warrants the action.
- Only persons responsible for a budget account should answer questions regarding any transaction on behalf of the University. Any coworkers who ask for information should be referred to the appropriate budget officer for that account or to the Business Office.
- Student information on grades, payroll, or other personal data should only be released to the individual and only with the approval of the appropriate office. Federal statutes such as the Family Educational Rights and Privacy Act (FERPA) identify what information is permissible. For further information, please contact the Office of Student Affairs or the Office of Academic Affairs for guidance.

Conflict of Interest

A fundamental principle of ethics calls for any person who exercises discretionary authority on behalf of an institution to avoid clearly and completely, the use of this authority or confidential

information for his or her own benefit and to the detriment of the institution. It is, therefore, the policy of Mount Union that faculty and staff have a duty to be free from the influence of any conflicting interest when they act on behalf of the University, represent it in negotiations, or advise others at the University with respect to dealing with third parties. Faculty and staff are expected to exercise the utmost good faith in dealing with all persons, firms, entities or individuals who negotiate, contract, or otherwise have dealings with the University on the sole basis of what is in the best interest of the institution without favor or preference to third parties based on personal considerations.

A conflict of interest exists when a member of the faculty or staff is in a position to benefit personally, directly or indirectly, from his or her dealings with any entity or person conducting business with the University. All faculty and staff have an obligation to conduct affairs of the institution with business ethics and integrity and to avoid the conflict or the appearance of conflict between their personal interests and the interests of Mount Union in dealing with outside organizations or individuals.

Disclosure of Conflict of Interest. Under this policy, faculty and staff possessing the authority to act or make decisions on behalf of Mount Union or who supervise persons having such authority, must notify the University on any transaction that also involves:

1. Himself or herself or a member of his or her immediate family, (i.e., spouse, domestic partner, parents, siblings, children, and any other relative) or
2. An organization with which a member of the faculty or staff or a member of his or her family is affiliated through economic means or otherwise, as a trustee, officer, partner, consultant or significant owner that may materially benefit financially as a result of that transaction.

Disclosure is further required of faculty and staff of the University concerning all relationships and business affiliations that reasonably could give rise to a conflict of interest involving the University. For the purpose of this policy, affiliation is understood to prevail if the faculty or staff member or a member of the family:

1. Is an officer, director, trustee, partner, employee or agent of an entity that transacts business with the University; or
2. Is either the actual or beneficial owner of more than five percent of the voting stock or controlling interest of an entity that transacts business with the University; or
3. Has any other direct or indirect dealings with an organization involved with the University from which he or she knowingly is materially benefited (for example, receives directly or indirectly cash or other property in excess of \$10,000 per year, inclusive of salary, consulting fees, royalty payments or other remuneration, but exclusive of dividends or interest).

At the first knowledge of the transaction, the member of the faculty or staff shall disclose fully the precise nature of the interest or involvement. The University understands that there may be gray areas in defining what constitutes a conflict of interest and therefore urges faculty and staff to reveal even questionable conflicts. A form entitled, ***“Disclosure of Conflict of Interest”***, attached as Exhibit A, is available through the Office of Human Resources as a means for faculty and staff to disclose actual or potential conflicts. Information disclosed shall be treated in a confidential manner.

Faculty and staff will be responsible for completing and returning this form to the Office of Human Resources. All forms will be reviewed and if an actual or potential conflict arises, the situation will be referred to the individual’s area Vice President. After consultation by the area Vice President and the Vice President for Business Affairs, appropriate action will be taken as necessary to resolve the conflict in a manner consistent with the best interest of the University and the rights of the individual, while maintaining the highest ethical standards. If a member of the faculty or staff wishes to appeal any determination by the area Vice President and the Vice President for Business Affairs, he/she may do so in writing to the President’s Council within fourteen (14) days after initial determination for consideration. All decisions of the President’s Council will be final.

Failure to disclose a reportable interest or relationship or neglecting to comply with the University’s requirements for managing a determined conflict of interest may subject the faculty or staff person to disciplinary action up to and including dismissal from the institution.

Purchasing Policies and Procedures

Business transactions must be entered into solely for the best interests of Mount Union. The Purchasing Department, located in the Business Office, is authorized to act on behalf of the University in all purchasing matters. All faculty and staff should observe the following with regards to vendor relations:

- Refer to the University’s Purchasing Procedures as published by the Business Office
- Strive to obtain the maximum value for every expenditure
- Conduct business with potential and current vendors in good faith
- Demand honesty from a vendor representative, whether offered through verbal or written statements, in advertising, or through a sample of the product
- Make every reasonable effort to arrive at an equitable and mutually beneficial agreement that is in the best interest of the University
- Avoid activities that would give an appearance of preferential treatment

- Do not require others to contribute to or buy from Mount Union before we buy from them

Faculty and staff may not offer, provide or solicit, directly or indirectly, any special treatment or favor in return for anything of economic value or the promise of expectation of future value or gain. The University is always willing to consider adding potential vendors to its bid list. Faculty and staff are encouraged to submit any possible new vendors to the Purchasing Department for future consideration.

Mount Union requires faculty and staff to obtain a purchase order that contains many terms and conditions to protect the University in case a dispute arises between the department and the vendor. Without a purchase order, the University has no commitment to pay a bill, leaving the initiator of the purchase potentially responsible for its payment.

The University also offers a purchasing card ("P-Card") to expedite purchasing of small dollar items and to assist in travel-related purchases. P-Cards are for business purposes only. Please refer to the complete policy on *iRaider* for additional information.

In cases where a contract is involved in the purchasing of goods and services, please refer to the Purchasing Department for appropriate terms and conditions. Any faculty or staff person who has been given authority to sign on behalf of the University should read all contracts and be certain he or she understands the commitments therein. ***Any questions should be forwarded to the Business Office prior to signing a contract on behalf of Mount Union.***

Gifts and Entertainment

Gifts made to University personnel may be in the form of entertainment, social invitations, sporting events, favors, personal property, services or discounts. Gifts from vendors, contractors, and others doing business with Mount Union are most often given as a gesture of goodwill and appreciation; however, all faculty and staff should be aware that gifts also can be given with the intent to influence a business decision. This behavior is customary business practice, but such activity can create conflicts of interest. It is the obligation of the faculty or staff member responsible for a business relationship to handle gifts properly and in accordance with University policy.

Faculty and staff (and family members) may not accept gifts of more than a token or nominal value from a supplier or vendor under any circumstances. While at times it may be difficult to quantify the cost of a gift, it is always important to consider the appearance of impropriety and/or unfair business practices. A gift that is considered immaterial is defined as something that is a one-time event with a value of less than \$50 (for example, tickets to a sporting event). Items considered as business-related entertainment items, such as those associated with a business meeting in which a vendor meets with a faculty or staff member as a normal part of their trade (for example, a business meal with a supplier or vendor) are acceptable and not considered gifts.

No member of the faculty or staff (and family members) can solicit and/or accept from an actual or prospective customer, supplier or vendor, any compensation, advance loans (except from financial institutions on the same basis as other customers) gifts, entertainment or other favors that are more than token value or which the employees would not normally be in a position to reciprocate under normal expense procedures. Under no circumstances should a gift or entertainment be accepted which would influence the faculty or staff member's judgment and they must avoid any interest in or benefit from anyone that could reasonably cause them to favor one customer, supplier or vendor over another.

On campus, expenditures of University funds for gifts to employees or students for any purpose other than those provided through departmental recognition programs are prohibited. Gift certificates to employees are considered taxable and must be processed through payroll and be approved by the Office of Human Resources. Any gifts or small parties must be approved in advance by a Vice President.

If you have any questions, please consult the Vice President for your area or the Office of Human Resources.

Proper Accounting Procedures

Mount Union is required to accurately and fairly reflect all transactions and maintain a system of internal controls that properly maintains the financial records of the institution. Thus, sound business practice calls for members of the University faculty and staff to assume responsibility for safeguarding and preserving the assets and resources of the institution. It is the responsibility of all budget officers to ensure that their staff is aware of and familiar with proper accounting procedures.

All revenues generated by University-related activities and all expenditures for goods and services must be recorded and accounted for by the Business Office and within the University's financial reporting systems, which includes its general ledger and all related systems that serve as the basis for ledger entries. All transactions must be recorded in a way that allows for the preparation of financial statements in accordance with Generally Accepted Accounting Procedures (GAAP). The Controller's Office, located in the Business Office in Beeghly Hall, is responsible for the accuracy and integrity of the University's financial records system and must be consulted on any matters related to accounting policies and procedures.

The recording of all financial transactions must be timely and accurate, clearly identifying the business nature of the transaction. Specific guidance pertaining to the timely posting of transactions at month-end and year-end will be provided to all departments from the Controller's Office. No transaction shall be deliberately left incomplete or inaccurate for any reason. No payments made on behalf of the University are to be approved with the understanding that any part of such payment is for any purpose other than described on its supporting documents.

All cash receipts should be deposited with the Business Office in the same day they are received or as soon as reasonably possible. Please refer to the University's cash handling policy,

available on *iRaider*. Checks should be made payable to University of Mount Union. After deposit, any refunds or adjustments, if necessary, can be made by contacting the Business Office for resolution. All donations or gifts to the University must be submitted to the Office for University Advancement for recording prior to deposit by Business Office personnel.

All bank accounts using the University identification number must be held within the control of the Business Office and recorded on the University's general ledger. No bank accounts of any kind are to be established by individual departments, student organizations, or others acting on their behalf for the purpose of funding or to assist in funding any University activity.

Each account within the University's financial record system is assigned a "responsible person," or budget officer, whose responsibility is to assure that all monthly reports are reviewed to determine that all charges and entries are accurate and complete. Also, budget officers must verify that all entries have been properly allocated to the expenses related to activities pertaining to the business purposes of that account. Any improper charges must immediately be reported to the Business Office.

If the task of reviewing charges to a University account is assigned to another person, the original budget officer remains responsible for ensuring the task is carried out completely and accurately. Similarly, it is the responsibility of the budget officer to resolve any errors in the accounts and to inform the Business Office if necessary corrective actions are needed.

Disbursements for payment of vendor invoices and reimbursement of an employee's businessrelated expenses must be processed through the Business Office, while all payroll disbursements are handled through the Office of Human Resources. Every disbursement requires specific documentation in order for it to be processed. Please refer to the University's written policy entitled *Travel Policies and Procedures Guide* published by the Controller's Office for additional information.

Misuse of University Assets and Circumstances of Fraud

It is a requirement that all faculty and staff at every level of the University of Mount Union protect and properly safeguard the assets of the institution so that they are not lost or misused. University equipment is acquired for the benefit of the entire Mount Union campus community. Proper care and handling of such equipment will help to ensure its continued use and benefit to the institution. Obsolete or inoperative equipment is still the property of Mount Union and must be disposed of appropriately in consultation with the Business Office. Any new equipment must follow instructions for acquisition as identified within the purchasing policy and procedures.

The overwhelming majority of campus personnel is ethical, well-intentioned and does their best to conduct University business activities at the highest level of propriety. However, instances of fraud situations may occur and not be properly recognized, even in instances involving coworkers of long affiliation.

Fraud is defined as “an act of deceiving or misrepresenting in order to secure unfair or unlawful gain.” Examples include misconduct such as untruthful financial reporting, expense reporting falsification, dishonest or false worker’s compensation or insurance claims, kickbacks, bid rigging, and the misuse of University checks, credit cards, or information technology. Misuse of Mount Union assets for personal gain is improper and also considered fraudulent. Fraud undermines trust and depletes the University of valuable resources. Every member of the campus community, regardless of position or status, is expected to cooperate and assist in preventing or identifying fraud.

If any member of the University community is aware of or suspects fraudulent activities, such as theft or misuse of assets, it should be immediately reported. Mount Union has contracted with an outside company, *EthicsPoint*, to provide a 24-hour, 365-day per year comprehensive and confidential reporting tool to assist the University in working to address issues of fraud and misconduct in the workplace. *EthicsPoint* is accessible via a call-in line or a secure internet connection to ensure that faculty and staff can file a report anonymously to a skilled interviewer in the manner most comfortable and convenient to them. By creating open channels for communication on these issues, the institution believes it can better promote a positive work environment and maximize productivity.

It is the policy of the University of Mount Union that faculty and staff shall be free, without fear of retaliation, to report actions within the institution that they reasonably believe may constitute misconduct, such as, but not limited to fraud, questionable accounting procedures and internal controls, harassment, discrimination, hostile workplace, security and safety issues, illegal or unethical business practices, wrongful termination, hate messages, violations of employment policies, violations of laws, mismanagement of University resources, and abuse of authority.

A representative of the University shall not take any employment action in retaliation against faculty or staff who reports possible misconduct. However, faculty and staff who knowingly file false or misleading reports will not be protected by this policy, and may be subject to discipline, including termination of employment with the University.

Mount Union will use *EthicsPoint’s* centralized reporting mechanism to disseminate information to the most appropriate parties and ensure all investigations are carried out in a fair and unbiased manner. Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. Further information about the confidential reporting system can be obtained through the *EthicsPoint* literature available within the Office of Human Resources. The link to the *EthicsPoint* reporting system is available on the web at https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=17662.

Copyright Infringement and Use of University Identity Standards

It is the policy of the University of Mount Union to respect copyrights and to duplicate or reproduce copyrighted materials only as allowed by law or by special agreement. Copyright is a form of protection that the law provides to the creators of “original works of authorship...fixed in any tangible medium of expression,” both published and unpublished (Title 17, United States

Code) and is owned by the author of a work. Permission should never be assumed. According to the Copyright Office document FL102, “the safest course is always to obtain permission from the copyright owner before using copyrighted material.”

All members of the Mount Union community are expected to comply with the copyright laws and provisions of licensing agreements that apply to software, printed and electronic materials provided by the institution and are encouraged to refer to the University’s policy on ***NonInfringing Uses of Copyrighted Materials***, as published by the Office of Human Resources, which outlines the doctrine of fair use in using various copyrighted works. This policy can be found on the University website at:

<https://portal.mountunion.edu/policies/Documents/Compliance/Copyright%20summary.pdf>

Faculty and staff should also refer to the University’s policy entitled ***Technology Resources Acceptable Use Policy***, as published by the Information Technology Department and available via the following link on the web:

<https://portal.mountunion.edu/policies/Documents/Technology/TechnologyResourcesAcceptableUsePolicy.pdf>

Furthermore, the University of Mount Union has licensed its name, seal, and logo, which may not be used in conjunction with any private or commercial enterprise, in tandem with the advertisement of any product, or by any individual or group promoting itself. The University provides for the use of these items, as well as letterhead and business cards through its ***Identity Program***, as approved by the Board of Trustees. Faculty and staff must contact the Office of Marketing for any further information on the use of these standards.

Motor Vehicle Records (MVR) Protocol

Vehicle operations can create substantial risk for the University. A best practice for reducing vehicle risk is to ensure that only drivers with safe driving records are permitted to operate vehicles on university business.

The following constitutes our MVR protocol:

- All drivers must have a valid driver's license with the proper class and appropriate endorsements for the vehicles they are operating.
- Drivers must not drive if their license has been suspended or revoked.
- **Drivers must report all accidents, moving violations and license suspensions to their supervisor & Human Resources immediately.**

Prospective faculty and staff will be required to report all accidents and moving violations during the applicant screening process. MVRs will be obtained on new drivers at the time of employment or when existing faculty and staff transition into a driving position. MVRs will be obtained annually thereafter. The University has the right to determine the acceptability of a driver's MVR. Prospective employees must have an MVR that meets University qualifications to drive in order to be hired for positions requiring driving. The University may restrict the driving privileges of individuals with BORDERLINE MVR records or require drivers to receive additional training or monitoring. Drivers with an MVR that does not meet University qualifications to drive will be suspended from driving on University business.

BY SIGNING THIS AUTHORIZATION, I HEREBY ACKNOWLEDGE THAT I FULLY UNDERSTAND ITS CONTENT AND THAT I AUTHORIZE THE INVESTIGATION OF MY MOTOR VEHICLE RECORD AND/OR BACKGROUND CHECK AND THE RELEASE OF APPROPRIATE INFORMATION AND REPORTS TO THE UNIVERSITY OR SPONSORING PARTY. THIS AGREEMENT, STIPULATION AND RELEASE ARE LEGALLY BINDING. IF YOU DO NOT COMPLETELY UNDERSTAND THE ABOVE, DO NOT SIGN AND SEEK COMPETENT ADVICE, SUCH AS THAT RENDERED BY AN ATTORNEY.

A copy of this document shall be construed as the original.

I have read and understand the terms of this agreement:

Employee/Student Signature

Date

**Beginning July 1, 2016, costs incurred for MVR's and background checks will be billed to the requesting department. Departments will be billed for actual expenses incurred.*

**UNIVERSITY OF MOUNT UNION
Driver's Rights & Responsibilities**

The driver agrees that he/she will:

- 1) Use University vehicles for authorized business only.
- 2) Not permit any unauthorized person to drive the vehicle.
- 3) Use seat belts or other available occupant restraints and require all occupants to also use occupant restraints, in accordance with state laws and not operate the vehicle unless all occupants are wearing the appropriate restraints.
- 4) Operate all University vehicles in accordance with University regulation and know and observe all applicable traffic laws, ordinances and regulations.
- 5) Assume all responsibility for any and all fines or traffic violations associated with his/her use of a University vehicle or privately owned vehicle on University business.
- 6) Operate University motor vehicles or personal vehicles being used in the conducting of University business so as to reduce the likelihood of accidents and ensure the safety of the University employee, passengers, public and University property; use safe driving principles, practice and techniques at all times.
- 7) Not drive under the influence of drugs or alcohol (except any medications as long as they do not impair driving ability or cause drowsiness).
- 8) Not drive the vehicle at speeds that are inappropriate for road conditions.
- 9) Not drive the vehicle "off road" unless it is appropriate for that use.
- 10) Before leaving the parking area or garage, inspect the vehicle for safety concerns, checking tires, wipers, lights and other safety equipment for observable defects. Report any defects immediately to the prescribed authority to determine if the vehicle is safe to operate.
- 11) Immediately report all accidents or violations to the prescribed authority.
- 12) Immediately report to the appropriate authority any change in driving status that place the driver outside the University's driving qualifications. Examples include more than the allowed number of points on a license, or suspension or revocation of a license.
- 13) Be subject to applicable University disciplinary procedures for violations of University policy or rules.

I certify that I have read and understand the driver certification and training requirements and that the information on this form is true and that nothing asked for has been omitted. I understand that the information is being requested to assist in determining fitness to operate University-owned or leased vehicles. I understand that any false statement or omitted information will be grounds for denial of driving privileges at the University of Mount Union. I also certify that I have read, understood and will comply rules and regulations of the University Fleet Policy.

Signature of Applicant

Date