

**SAINT FRANCIS UNIVERSITY**  
**Code of Ethics**



Approved by the Board of Trustees  
on June 4, 2009

**SAINT FRANCIS UNIVERSITY**  
**Code of Ethics**  
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**I. General Principles and Guidelines**

**A. Introduction**

As members of the Saint Francis University community, all officers, trustees, faculty, staff, and students are responsible for conducting themselves with the highest ethical standards. As a Franciscan institution and in accordance with its mission statement, the University fosters values such as humility and generosity toward learning, respect, understanding of ethical issues, and reverence for all life. The University believes these are values to be lived and strives to integrate these values into its teaching, scholarship, business practices, and daily interactions among all members of the campus community. The necessary relationships that have evolved with outside entities, including but not limited to governmental agencies, community groups and business firms, require that persons representing the University conduct themselves in the spirit of Saint Francis of Assisi and in a manner supporting its core values and guiding principles.

**B. Purpose and Intent**

This Code of Ethics describes the standards that guide members of the campus community in daily University activities. In many cases these standards are already found in existing University policies. A key purpose of the Code of Ethics is to commit all applicable standards to writing and to ensure that they are understood and followed by the community. It is the responsibility of all members of the community to read the Code of Ethics and to disclose potential or actual conflicts of interest described under Section II-A. Chief administrative officers are responsible for promoting the understanding of and compliance with the Code of Ethics.

The University Code of Ethics is a statement of the University's commitment to upholding the ethical, professional and legal standards used as the basis for its daily and long-term decisions and actions. Each community member is individually accountable for his/her own actions and, as such, are accountable for upholding these standards of behavior and for compliance with all applicable laws and regulations.

### C. Applicability

This Code applies to the following members of the Saint Francis Community:

- Individuals who have an employment relationship with Saint Francis whether full-time or part-time including faculty, staff and students;
- Members of the Board of Trustees
- Consultants, vendors and contractors which have an on-going business relationship with Saint Francis; and
- Individuals who perform services for Saint Francis as volunteers.

The Saint Francis student body is required to abide by the Student Code of Conduct (student expectations and responsibilities) which is distributed by the Office of the Vice President for Student Development.

### D. Commitment to Integrity and Ethical Conduct

Saint Francis University is committed to maintaining a reputation for the highest ethical and professional standards of conduct. Each member of the University community is expected to commit to honesty and integrity in their work, accept personal responsibility for their actions, exercise high ethical standards in their personal and professional lives, and demonstrate compassion towards all. Each individual is expected 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 practice can be tolerated.

**Fiduciary Responsibility** Members of the Board of Trustees, officers, and staff of Saint Francis University serve a public interest role and thus have a clear obligation to conduct all affairs of the University in a manner consistent with this concept. All decisions of the Board of Trustees and officers of the University are to be made solely on the basis of a desire to promote the best interests of the University and the public good.

## II. Work Environment

### A. Conflict of Interest Policy

The term “conflict of interest” pertains to situations in which financial or other personal considerations compromise, or have the appearance of compromising, an individual’s professional judgment and ability to perform his or her responsibilities at Saint Francis University. All individuals who are covered under this Code should consider not only situations that are unacceptable, but also those situations that might involve the appearance of a conflict. A member of the University community may not profit or gain an unfair advantage at the expense of the well-being of the University as outlined below:

- Members of the University community may not have a direct or indirect, financial or proprietary interest of any nature that is in conflict with, impairs, or might reasonably impact such member independent, unbiased judgment in the proper discharge of his or her duties to the University. *Example: A member of the Board of Trustees transacts business with the University on behalf of an external organization in which he or she is owner/operator without full disclosure. Such conflict may be resolved by full disclosure as well as making appropriate arrangements that clearly exclude the member from participating in the decision.*
- A member of the University community shall not accept or solicit any gift, favor or service that might reasonably influence the community member in the discharge of his or her duties or that the community member knows or should know is being offered with the intent to influence his or her official conduct. *Example: The Director of Purchasing accepting a two night stay in Bermuda in exchange for purchasing products for the University is a conflict of interest.*
- A member of the University community shall not accept other employment or engage in any business or professional activity that he or she might reasonably expect would require or induce him or her to disclose confidential information acquired by reason of the community member’s official position. *Example: The Director of Development accepting appointment to a Board of an organization that desires confidential donor information be shared about the University to support the organization’s advancement is a conflict of interest.*

- No member of the University community shall disclose confidential information gained by reason of his or her official position or otherwise use such information for his or her personal gain or benefit. *Example: A staff member provides his daughter, who is enrolled at the University, with exam information that would result in her personal gain is a conflict of interest and violates the Code of Ethics.*
- No employee shall transact any business in his or her official capacity with any external business entity of which he or she is an officer, agent or member, or in which he or she has a financial interest. *Example: The physical plant director is part owner of a commercial cleaning company and in a position to influence relevant business decisions. Such conflict may be resolved by full disclosure as well as making appropriate arrangements that clearly exclude the member from participating in the decision.*

In addition, a conflict may occur if any of the above situations exists involving a member of the immediate family or household of a member of the University community, or an organization with which he or she or a family member has a significant management, ownership, or material association.

## B. Disclosure Guidelines

Should an employee, consultant, vendor, contractor, or volunteer believe he or she is involved in a matter or is engaged in an activity in which a conflict of interest may exist, he or she must promptly and fully disclose the conflict to the Chief Human Resources Officer, refrain from further participation in the matter until it is resolved, and follow directions given by the University concerning the matter. If there is uncertainty whether an activity might violate this policy, or for answers to questions regarding this policy consult with the Chief Human Resources Officer.

All trustees and officers of the University shall disclose to the Board any possible conflict of interest at the earliest practical time. No Trustee shall vote on any matter, under consideration at a Board or committee meeting, in which such Trustee has a conflict of interest. The minutes of such meeting shall reflect that a disclosure was made and that the Trustee who is uncertain whether he or she has a conflict of interest in any matter may request the Board or Committee to determine whether a conflict of interest exists, and the Board or Committee shall resolve the question by majority vote. When possible, the question of potential conflict should be referred to the

University's legal counsel for an opinion prior to the Board's vote. Trustees or officers who have declared or been found to have conflict of interest in any matter before the Board shall refrain from participating in consideration of the proposed transaction, unless for special reasons the Board or administration requests information or interpretation from the person or persons involved. The person or persons involved should not vote on such matters and should not be present at the time of the vote.

## Conflict of Interest Disclosure Statement

Members of the University community who become involved in potential conflict of interest situations must complete a **Conflict of Interest Disclosure Statement** at the time they become aware of the potential for a conflict of interest. All members of the board of trustees, officers, president's council, deans, and selected staff (Director(s) of Physical Plant, Purchasing, University Police, and Athletics; Controller, Chief Information Officer) are responsible for filing an annual disclosure statement to disclose all business interests, affiliations and/or relationships that could reasonably give rise to a conflict of interest involving the University. Conflict of Interest Disclosure Statements are distributed by the Chief Human Resources Officer who is responsible for ensuring that statements are completed and returned each year. For trustees and officers, the disclosure statements shall be provided to the Chairman of the Board, or in the case of the Chairman's disclosure statement, shall be provided to the Secretary of the Board. In the case of staff or others with significant decision-making authority, the disclosure statements shall be provided to the President. The President's Office shall maintain copies of all disclosure statements. A Conflict of Interest Disclosure Statement is attached as Appendix 1.

## Violations of Conflict of Interest Policy

If the Board of Trustees or University has reason to believe that a member of the University community has failed to disclose an actual or potential conflict of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose. If, after hearing the response of the individual and making such further investigation as may be warranted in the circumstances, it is determined that the individual has in fact failed to disclose an actual or possible conflict of interest, the Board of Trustees or University shall take appropriate disciplinary and corrective action.

### **C. Hiring Relatives**

Saint Francis University strives to employ the most qualified individuals available for all positions. The University does not consider family relationship a disqualifying factor for employment, but special consideration will not be given to relatives of current employees. Employment depends exclusively on the applicant's qualifications and suitability for the position. This policy may extend to different offices and departments dependent on the nature of the work involved and the potential for conflict of interest. The University reserves the right to make the final decision with regard to the employment of relatives.

### **D. Research Grants and Contracts**

The University receives grants and contracts from federal and non-federal sources. Faculty and staff who are involved in federally sponsored research must strictly follow rules and regulations related to that work outlined in the [Research Misconduct Policy](#). Questions regarding the Research Misconduct policy should be directed to the Provost's Office. Failure to observe government rules and regulations can result in the loss of funds from grants and contracts, and in some instances, civil fines and criminal penalties. The University's capacity to receive future grant awards may also be negatively impacted. With respect to grants and contracts from non-federal sources, faculty and staff must comply with applicable regulations and requirements.

In all cases, award recipients must adhere to all University policies pertaining to grants and contracts.

### **E. Outside Employment, Commitments, and/or Business Interests**

Saint Francis University respects the rights of an employee to engage in activities of his or her choice, both within and outside the University, as long as those activities do not adversely affect the University.

It is the policy that full-time employees will not accept outside employment or enter into other time demanding commitments that will be detrimental to the fulfillment of their responsibilities to the University. Should the immediate supervisor of an employee conclude that he/she has accepted or is contemplating acceptance of employment or another commitment contrary to the above-stated policy, the supervisor should so notify the employee in writing.

The employee may then continue such employment or commitment or accept such employment or commitment only with the written approval of the Provost or chief administrative officer of the division.

### **F. Nondiscrimination Statement and No Harassment Policy**

Saint Francis University, inspired by its Franciscan and Catholic identity, values equality of opportunity, human dignity, racial, cultural and ethnic diversity, both as an educational institution and as an employer. Accordingly, the University prohibits and does not engage in discrimination or harassment on the basis of race, color, religion, sexual orientation, national origin, sex, marital status, age, disability or status as a veteran or disabled veteran or any other protected classification. The University is committed to this policy based upon its values and in compliance with federal and state laws. This policy applies to all programs and activities of the University, including, but not limited to, admission and employment practices, educational policies, scholarship and loan programs and athletic or other University sponsored programs. Inquiries or complaints may be addressed to Ms. Heather Meck, Chief Human Resources Officer/Affirmative Action/Title IX Coordinator, Saint Francis University, 102 Raymond Hall, Loretto, PA 15940 (814) 472-3264.

### **G. Integrity and Accuracy of University Documents and Records**

Every member of the University community is responsible, within the scope of his/her work, for the integrity and accuracy of the University's documents and records. No one may falsify or improperly alter any institutional record or document. University documents and records are retained in accordance with the law and the University's record retention requirements. It is unlawful for any officer or employee to take an action to fraudulently influence, coerce, manipulate, or mislead an auditor engaged in the performance of an audit for the purpose of rendering the financial statements materially misleading.

## **H. Confidentiality of University Documents and Records**

Members of the University community are entrusted with confidential records and documents and are expected to safeguard this information from access or view of unauthorized persons.

In 1974, the United States Congress passed the Family Educational Rights and Privacy Act (FERPA), also known as the Buckley Amendment. According to the law, the purpose of the act is "to set out requirements for the protection of privacy of parents and students" regarding grades and other educational information as stipulated. FERPA addresses the issue of accessibility by third parties to educational records. These records can take on many forms, but the Buckley Amendment is concerned only with the information which is shared with or accessible to others; private notes kept by a professor or administrator, campus law enforcement documents, medical or psychiatric records, and parents' financial records are examples of information which are not covered by the law. The law itself is simple: information is divided into "directory" (public) information and "confidential" (private) information. Release of directory information without the individual student's express permission is allowed unless the student limits the release of such information in writing at the Office of the Registrar.

## **I. Confidential and Proprietary Information**

Members of the University community may have access to confidential and proprietary information. Confidential and Disclosure Agreements will be signed by members of the University community upon hire or appointment. (Appendix 2) Any unauthorized release of confidential information will be cause for disciplinary action.

## **J. Workplace and Environmental Health and Safety**

The University makes every effort to ensure the health and safety of the campus community. Every attempt is made to maintain a safe and healthy place of employment, minimize accidents, and provide the proper safety equipment. Safety is also the responsibility of each employee. Employees should be aware of and abide by all applicable rules and regulations for their own protection as well as the health and safety of fellow employees. The University must comply with government laws and regulations that

protect the environment and promote workplace health and safety and operate its facilities with all of the necessary permits and approvals especially with respect to handling and disposal of hazardous and bio hazardous materials. Anyone working with or around these materials must be familiar with the regulations and policies that apply to them. Concerns or questions about workplace health and safety should be directed to the University's Environmental Health and Safety Officer at 814-472-3884.

## **K. Drug / Alcohol Free Workplace**

It is the policy of Saint Francis University that any employee who reports to work appearing to be under the influence of alcohol or drugs or who is seen drinking or taking drugs on the campus during work hours (other than those commonly taken or prescribed by a physician) should immediately be reported to the employee's supervisor or to Human Resources.

In accordance with the Drug-Free Workplace Act of 1988, the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited on any site owned, leased or utilized by the University.

## **III. Obligation to Report Suspected Code Violations**

Each member of the Saint Francis community is responsible to report actual or perceived violations of the Code of Ethics that come to his or her attention. Supervisors have a special duty to adhere to the standards set forth in this Code, to recognize violations and to enforce the standards.

Reports of suspected violations of these standards should be made promptly in writing and signed by the individual making the report as outlined in Appendix 2.

Reports will be impartially and confidentially investigated either by the Chief Human Resources Officer or the University's external auditor depending on the nature of the complaint.

Saint Francis University will protect from retaliation anyone who makes a good faith effort to appropriately disclose any real or perceived wrong doing. However, the University reserves the right to deal with malicious or frivolous allegations through appropriate disciplinary procedures.

## Consequences of Violation

Violations of the Code will be considered under the University's established disciplinary practices and procedures as outlined in the Faculty and Staff Handbooks, or other documents to which the violator's employment is subject. Violations may carry disciplinary consequences, including dismissal from employment, based on the circumstances and severity of the violations. Such violations may also subject individuals to civil / criminal action in state or federal courts.

## IV. Reporting of Improprieties in Accounting, Auditing or Internal Control Practices

A confidential procedure for reporting improprieties in these practices has been implemented as part of the University's compliance with provisions of the Sarbanes-Oxley Act recommended for adoption by colleges and universities by the National Association of College and University Business Officers (NACUBO).

Individuals who wish to report any concern they might have about these practices are asked to follow the procedure outlined in Appendix 3.

Individuals who elect to report their concerns are assured that their information will be treated confidentially and such action will in no way jeopardize their standing at the University.

## Appendix 1

### Saint Francis University CONFLICT OF INTEREST DISCLOSURE STATEMENT

Please complete the questionnaire, below, indicating any actual or potential conflicts of interest. If you answer "yes" to any of the questions, please provide a written description of the details of the specific action or transaction in the space allowed. Attach additional sheets as needed.

The following definitions are provided to assist in completing the disclosure statement:

Business relationship: One in which a University employee or trustee, or a member of his or her family as defined below, is the owner or serves as an officer, director, employee, partner, trustee or stockholder of an organization conducting business with Saint Francis University.

Business associate: A person or entity that performs a function or activity on behalf of another.

Family member: A spouse, parent, sibling, child, grandchild, or any other relative or person if the latter reside in the same household as the University employee or trustee.

Financial interest: When a University employee or trustee or a member of employee or trustee's family (a) is the actual or beneficial owner of an organization conducting business with the University, or (b) has other direct or indirect dealings with such an organization from which the employee or a member of the employee's family benefits directly, indirectly, or potentially from cash or property receipts.

Please indicate whether, during the past twelve (12) months:

**Has Saint Francis University contracted to purchase or lease goods, services, or property from you, or from any of your family members or business associates?**

*If yes, please describe.*

**Has Saint Francis University purchased an ownership interest in or invested in a business entity owned by you, or owned by any of your family members or business associates?**

*If yes, please describe.*

**Have you, or have any of your family members or business associates, been provided with a gift, gratuity, or favor, valued at \$100 or more, which might reasonably influence you in the discharge of your duties, from a person or entity which does business, or seeks to do business, with Saint Francis University?**

*If yes, please describe.*

**Have you obtained preferential treatment by Saint Francis University for yourself; or for any of your family members or business associates?**

*If yes; please describe*

**Have you made use of confidential information obtained from Saint Francis University for your own benefit, or for the benefit of a family member, business associate, or other organization?**

*If yes, please describe*

**SAINT FRANCIS UNIVERSITY  
ANNUAL AFFIRMATION OF COMPLIANCE AND DISCLOSURE  
STATEMENT**

I have received and carefully read the Conflict of Interest Policy for trustees, employees, consultants, vendors, and volunteers of Saint Francis University and have considered not only the literal expression of the policy, but also its intent. By signing this affirmation of compliance, I hereby affirm that I understand and agree to comply with the Conflict of Interest Policy.

Except as otherwise indicated in the Disclosure Statement and attachments, if any, below, I hereby state that I do not, to the best of my knowledge, have any conflict of interest that may be seen as competing with the interests of the Saint Francis University, nor does any family member or business associate have such an actual or potential conflict of interest.

If any situation should arise in the future which I think may involve me in a conflict of interest, I will promptly and fully disclose the circumstances to the Chairman of the Board of Trustees or to the President of Saint Francis University, as applicable.

I further certify that the information set forth in the Disclosure Statement and attachments, if any, is true and correct to the best of my knowledge, information and belief.

\_\_\_\_\_  
Name (Please Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

[Click here for a blank copy of this form](#)

**Appendix 2**

**SAINT FRANCIS UNIVERSITY  
CONFIDENTIAL DISCLOSURE AND NON-USE AGREEMENT**

As an employee of Saint Francis University or member of its Board of Trustees, I understand that I may have access to confidential and/or proprietary information, and as a result I hereby agree to the following:

1. Confidential information is defined as any information intended by a party to be confidential, proprietary, or otherwise subject to protection which is disclosed to a receiving party and so indicated by the disclosing party to be "Confidential" or "Proprietary". Confidential information may also include:
  - Personal information about students, employees, trustees, alumni, clients, and others associated with the University. This includes protected health information in accordance with HIPAA regulations.
  - Information regarding employees such as wages, benefits, disciplinary actions, and other personnel information.
  - Information regarding University legal matters, contracts, legal claims, and litigations.
  - Proprietary information without authorization. Including research, trade secret, patent, technology, or development work, plans, bids, specifications, marketing plans, vendor and/or subcontractor quotes, financial data, or information related to the business and services of Saint Francis University.
  - Documents, files, records, electronic files.

Confidential information shall not include any information which is already known to the receiving party, is generally available to the public, is received from a third-party who had a legal right to disclose such information without restriction, or is developed independently of.

2. I will not use the confidential information for my benefit.
3. I will maintain any information obtained from any party in strict confidence and will not disclose the information to anyone not connected with Saint Francis University, or in accordance with the terms of any agreement made between the University and another party.
4. I agree to comply with all requirements outlined in any confidential disclosure and non-use agreement signed by another party and the University.

I have read, understand, and agree to abide by the requirements set forth.

\_\_\_\_\_  
Signature of Employee or Trustee

\_\_\_\_\_  
Date

**Appendix 3**

**SAINT FRANCIS UNIVERSITY  
CONFIDENTIAL REPORT PROCEDURE FOR  
SUSPECTED CODE OF ETHICS VIOLATIONS**

A report of suspected Code violation should be made promptly in writing and signed by the individual making the report. Reports of code violations will be confidentially reviewed and investigated by the Office of Human Resources or the University's external auditor. The University will protect from retaliation anyone who makes a good faith effort to appropriately disclose actual or perceived violations.

Reports can be submitted to any one of the individuals listed below:

President , Saint Francis University  
Reverend Gabriel Zeis, T.O.R.  
P.O. Box 600  
Loretto, PA 15940

Provost, Saint Francis University  
Dr. Wayne Powel  
P.O. Box 600  
Loretto, PA 15940-0600

Vice-President for Finance, Saint Francis University  
Mr. Robert Datsko  
P.O. Box 600  
Loretto, PA 15940-0600

Chief Human Resources Officer, Saint Francis University  
Ms. Heather Meck  
P.O. Box 600  
Loretto, PA 15940-0600

A supervisor. A supervisor whom a report of a violation is made is obligated to report the violation to one of the senior executives listed.

Reports may also be submitted anonymously by contacting **Ethics Point** tollfree at 1-888-297-9325 or [www.ethicspoint.com](http://www.ethicspoint.com)

**SAINT FRANCIS UNIVERSITY  
CONFIDENTIAL REPORT PROCEDURE  
For Suspected Improprieties in  
Accounting, Auditing or Internal Control Practices**

Any member of the Saint Francis University Community who has concerns about possible improprieties in accounting, auditing or internal control practices or processes should report such concerns in writing to any of the individuals listed below. The written report should be signed by the reporting individual. The University will protect from any retaliation anyone who makes a good faith effort to appropriately disclose an alleged impropriety.

Chairman, Saint Francis University Board of Trustees  
Very Reverend Christian R. Oravec, T.O.R.  
P. O. Box 157  
Loretto PA 15940

Chairman, Financial Affairs Committee,  
Saint Francis University Board of Trustees  
Mr. John Halicky  
Two Westmoreland Farm Lane  
Pittsburgh PA 15215

External Auditor, Saint Francis University  
Parente Randolph  
46 Public Square, Suite 400  
Wilkes-Barre, PA 18701-2681

President, Saint Francis University  
Reverend Gabriel Zeis, T.O.R.  
P.O. Box 600  
Loretto, PA 15940-0600

Vice-President for Finance, Saint Francis University  
Mr. Robert Datsko  
P.O. Box 600  
Loretto, PA 15940-0600

Reports may also be submitted anonymously by contacting **Ethics Point** tollfree at 1-888-297-9325 or [www.ethicspoint.com](http://www.ethicspoint.com)