UNIVERSITY OF NOTRE DAME

Ethical Conduct Policy

POLICY 5.4
Responsible Executive: Vice President and General Counsel
Responsible Office: Office of General Counsel
Issued: March 1, 2010
Revised: August 2015

1. INTRODUCTION

The University of Notre Dame is committed to operating in an ethical, honest, and lawful manner in pursuit of fulfilling its mission and expects its employees to act in accordance with University policies and applicable law.

2. POLICY STATEMENT

Any University employee who has a good faith belief or concern that misconduct is taking place or has taken place is expected to report the matter. Misconduct is defined as any activity by a University employee that violates a law, regulation, grant requirement, or University policy. Types of behavior that are considered misconduct include, but are not limited to: misuse of grant money, University property or resources; impropriety or fraud with respect to financial reporting or accounting; embezzlement; theft; or conspiring with or coercing another to engage in any of such behaviors.

A report will be promptly and thoroughly investigated with all reasonable efforts made to protect the identity of the person who made the report. Further, the University strictly prohibits retaliation against anyone who reports misconduct. If an individual believes that he or she has been retaliated against for disclosing information regarding misconduct, he or she should refer to the University's Non-Retaliation Policy and follow the procedures set forth therein for filing an internal complaint. If retaliation is found to have occurred, prompt remedial action will be taken, up to and including dismissal.

3. SCOPE

This policy applies to all University of Notre Dame employees, both faculty and staff.

4. DEFINITIONS

Misconduct	Any activity by a University employee that violates a law, regulation, grant requirement, or University policy. Types of behavior that fall within misconduct include, but are not limited to: misuse of grant money, University property or resources; impropriety or fraud with respect to financial reporting or accounting; embezzlement; theft; or conspiring with or coercing another to engage in any of such behaviors.
Retaliation	Any adverse action an individual experiences as a consequence of that individual: reporting misconduct; participating in a University investigatory, grievance, or appeals procedure; filing a complaint

	alleging prohibited discrimination (including harassment); or otherwise objecting to a practice that the individual reasonably believes is unlawful, unethical, or in violation of University policy.

5. RESPONSIBILITIES

Responsible Party	List of Responsibilities
Office of General Counsel	1. Investigate misconduct reports as appropriate. 2. Update this Policy as necessary.
Office of Human Resources	1. Investigate misconduct reports as appropriate.
Office of the Provost	1. Investigate misconduct reports as appropriate.
Audit & Advisory Services	1. Provide reports to the Audit Committee of the University Board of Trustees on number of complaints/reports, investigations, and resolutions under this Policy. 2. Oversee a steering committee comprised of the Executive Vice President, Vice President and General Counsel, Associate Vice President for Human Resources, Director of Audit & Advisory Services (Chair), or their designees, that will meet at least annually to summarize violations of this Policy for the Audit Committee of the University Board of Trustees. 3. Investigate misconduct reports as appropriate.

6. PROCEDURES

A University employee who becomes aware of misconduct is expected to:

a) Talk with his/her immediate supervisor, as applicable, or – if another option is preferred – voice his/her concerns to higher levels of authority as follows:

   1) Director or Chair of a department or division;
   2) Dean of college or school; or
   3) Member of the University's Officer Group; or

b) Report misconduct through the ND integrity line (1-800-688-9918); or

c) File a report online at https://www.compliance-helpline.com/NotreDame.jsp

The University shall promptly investigate the report and take appropriate remedial action.

7. POLICY ENFORCEMENT

Violations	It is an explicit violation of this Policy to make a false report or report alleged misconduct without good faith reason to believe that misconduct has occurred or is occurring. Anyone who makes such a report will be disciplined in accordance with University policies and procedures.
Enforcement	The University shall promptly investigate complaints of misconduct and take appropriate remedial action.

8. REFERENCE DOCUMENTS

Policy or Document	**Web Address**
ND Integrity Line	http://hr.nd.edu/nd-faculty-staff/forms-policies/nd-integrity-line
Anonymous Online Reporting	https://www.compliance-helpline.com/NotreDame.jsp
Non-Retaliation Policy	http://policy.nd.edu/policy_files/NonRetaliationPolicy.pdf

9. CONTACTS

Subject	**Office or Position**	**Telephone Number**	**Office E-mail or URL**
Policy Clarification	Office of General Counsel	(574) 631-6411	gencoun@nd.edu
ND Integrity Line		http://hr.nd.edu/nd-faculty-staff/forms-policies/nd-integrity-line	
Web Address for this Policy		http://policy.nd.edu/policy_files/EthicalConductPolicy.pdf	