

IF YOU SEE SOMETHING, SAY SOMETHING!

As a member of the UC Berkeley community you are asked to be aware of your surroundings and if you see **anything** that doesn't look "right," please say something! The contacts below will enable you to do something positive to make sure that our campus is safe and that all members of our community act in accordance with the University of California's *Standards of Ethical Conduct*.



- UCPD -- 911 (landline) or 642-3333 (cell) -- all emergency situations
- Whistleblower Hotline (anonymous/confidential) -- call (800) 403-4744 or report online at <https://secure.ethicspoint.com/domain/media/en/gui/23531/index.html>
- EH&S (e.g. concerns about actual or potential environmental hazards and employee safety) -- 642-3073
- Physical Plant (e.g. flooding and electrical hazards) -- 642-1032
- Risk Services -- risk@berkeley.edu

TRAINING



- **"Ethics for New Employees"** - During this Briefing, you will learn how:
 - The University's ethical values and standards of ethical conduct apply to your work life;
 - Ethics impact decision-making; and
 - How to report instances of non-compliance to the University's ethical standards.
- **"A Financial Conflict of Interest"** - In this briefing, we would like to impress upon you our commitment to these values and standards of conduct, and delve deeper into the standard on conflict of interest. Since this standard has support in the form of state law and can impact you at any time in your employment here, we ask that you complete this briefing at the start of your career at UC Berkeley.

TO ACCESS THE TRAINING:

1. Log-in to BLU at: <https://blu.berkeley.edu/> and click on **"Login to BLU"**.
2. Enter your CalNet ID and password.
3. Click on the link for **"UC Learning Center"**.
4. In the search field type in **NAME OF THE COURSE** then follow the instructions through the briefing.

QUESTIONS?



For general Ethics and Compliance questions contact:

ethics@berkeley.edu.

You can also access additional information on the web at:

<http://ethics.berkeley.edu/>

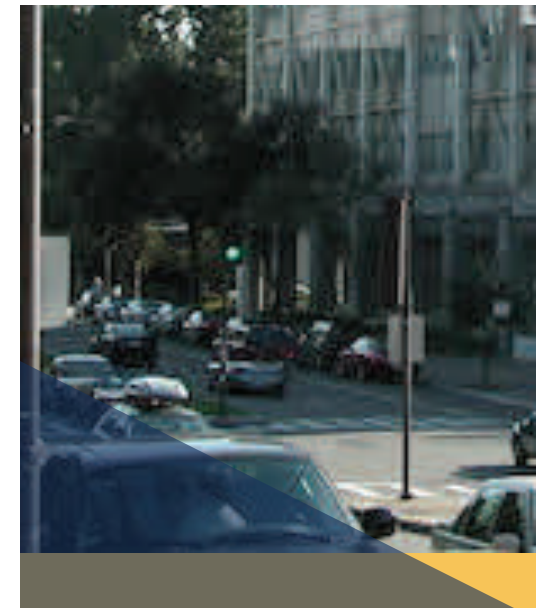
and

<http://compliance.berkeley.edu/>

Berkeley
University of California



**ETHICS AND COMPLIANCE
AT
UC BERKELEY**



STANDARDS OF ETHICAL CONDUCT

1. **Fair Dealing** - we will always conduct ourselves ethically, honestly and with integrity.
2. **Individual Responsibility & Accountability** - We will accept responsibility appropriate to our positions and delegated authority.
3. **Respect for Others** - We will treat everyone we contact with respect and dignity.
4. **Compliance with Applicable Laws & Regulations** - We will learn to abide by federal, state, and local laws that affect our campus roles.
5. **Compliance with Applicable University Policies, Procedures & Other forms of Guidance** - We will learn and abide by University and campus policies and procedures that affect our campus roles.
6. **Conflicts of Interest or Commitment** - We will avoid both actual conflicts of interest and the appearance of such conflicts, and devote our primary professional allegiance to the University and its mission of teaching, research and public service.
7. **Ethical Conduct of Research** - We will conduct our research with integrity and intellectual honesty, and show the greatest care for human or animal subjects.
8. **Records: Confidentiality/Privacy & Access** - We will follow applicable laws and University policy when accessing, using, protecting, or disclosing records.
9. **Internal Controls** - We will ensure that internal controls are established, properly documented, and maintained for activities within our jurisdiction.
10. **Use of University Resources** - We will ensure that campus resources are used only on behalf of the University.
11. **Financial Reporting** - We will ensure that accounting and financial records are accurate, **clear**, and complete.
12. **Reporting Violations and Protection from Retaliation** - We will report all known or suspected improper governmental activities under the provisions of the University's Whistleblower Policy, recognizing that everyone is protected from retaliation for making such reports under the Whistleblower Retaliation Policy.



CONFLICT OF INTEREST

A conflict of interest exists whenever an employee's personal, professional, commercial, or financial interests or activities outside of the University have the possibility (whether potential, real, or perceived) of:

- Compromising the employee's judgment;
- Biasing the nature or direction of scholarship;
- Influencing the employee's decision or behavior with respect to teaching, student affairs, promotions and appointments, use of campus resources, interaction with human subjects, or other matters of interest to the University; or
- Resulting in personal or a family member's gain or advancement at the expense of the University.

The conflict exists by virtue of a relationship that could result in an undue influence on the employee's professional judgment.

You do not have to do anything improper to have a conflict of interest; it is strictly situational.

You MUST disqualify yourself from any decision making process where you have a conflict of interest.

You can view more information on this subject at:

<http://compliance.berkeley.edu/conflict-of-interest>



CONTRACTS UNLESS YOU HAVE DELEGATED AUTHORITY YOU MAY NOT SIGN CONTRACTS!

TYPE OF CONTRACT	OFFICE TO CALL
Direct-to-Vendor Requisitions (Low-Value purchases)	Departmental Business Officers
All Other Purchase Orders	Procurement
Business Contracts	Business Contracts
Affiliation Agreements with Other Academic Institutions	Executive Vice Chancellor & Provost
Construction Contracts	Facilities Services
Research Contracts with Government Entities	Sponsored Projects
Research Contracts with Private Entities	Industry Alliance
Leases and Facility Use Permits	Real Estate Services
Travel & Entertainment Contracts	Risk Services