

# **INTER AMERICAN UNIVERSITY OF PUERTO RICO CODE OF CONDUCT**

*This document is available in Spanish and English. In the event of a conflict as to its interpretation, the Spanish version shall prevail*

## **Normative Document G-0419-047**

### **Introduction**

The Inter American University of Puerto Rico is committed to achieving its mission and performing its academic, administrative and fiscal operations with the highest ethical standards and in total compliance with applicable laws and regulations, as well as current institutional norms. Because of this commitment, the University's management enacts this Code of Conduct to instruct the Institution's directors, officials, employees, faculty, students and agents about the ethical and legal expectations and demands that they must follow when performing their duties.

### **I. Legal Basis**

This document is enacted by virtue of the authority conferred upon the President of the Inter American University by the Board of Trustees in the University Bylaws.

### **II. Purpose**

This Code contains compliance rules and is enacted to serve as a guideline for what the University expects from each member of the university community when performing their duties. Its purpose is to help determine correct and expected conduct, and it contains practical information and other resources that may be used when facing a situation of possible non-compliance.

It is expected that this Code of Conduct is sufficiently clear as to be easily understood and used. However, as some topics may prove difficult, they have been summarized so as to impart some general knowledge of them. To clarify any questions about these topics, we invite the university community to use the resources provided in this document.

### **III. Applicability**

This Code applies to the whole university community, its employees, faculty, students and the Board of Trustees.

### **IV. Definitions**

- 4.1 University community - directors, officers, employees, faculty, students, Board of Trustees and agents.

- 4.2 Compliance Line - phone number (1-888-728-6753) available to answer any questions about compliance issues with the legal and ethical provisions, as well as to receive information about alleged violations to these provisions.
- 4.3 Compliance Management Office - office responsible for the compliance program. It promotes compliance of the laws, regulations and external and internal norms applicable to the activities conducted by the University.
- 4.4 President - the President of the Inter American University of Puerto Rico, Inc.
- 4.5 University or Institution - Inter American University of Puerto Rico, Inc.

## **V. Implementation**

- 5.1 Condition of employment - The principles contained and stated in this Code reflect the University's fundamental values and its commitment to complying with ethical and legal norms. These norms are expected to be part of how each member of the university community performs their daily tasks. Therefore, compliance with the provisions in this Code is a condition for employment at the University.
- 5.2 All members of the university community are responsible for reading, understanding and complying with this Code and to become familiar with the laws, regulations and institutional norms that directly affect their work area.
- 5.3 If any questions arise concerning the Code, ask your direct supervisor or the Compliance Management Officer (see Section VII), or refer to the relevant policy or procedure that addresses your question (see Section VI).

## **VI. Current Norms**

A great effort will be made to keep this list of relevant normative documents updated. However, because of the dynamic nature of the document revision process, we invite the university community to reference the updated normative documents published on our website; <http://www.inter.edu/>

### **6.1 Compliance with applicable laws and regulations**

All members of the university community must comply with the laws and regulations that make up the legal framework in which they perform their university duties. This framework is comprehensive and covers topics such as the regulations for projects subsidized with external funds, and federal funds in particular, labor and environmental rights, tax law, occupational health and safety,

and fraud. Non-compliance of any of these norms may result in administrative, civil and criminal penalties for the University and the person involved.

The following current institutional norms are related to this section:

- ***Institutional Norms against Fraud***

This section is contained in the following Code of Conduct:

- ***Institutional Code of Conduct for the Student Loan Program***

## 6.2 Human Resources

The University acknowledges that the members of the university community are the most important resource to achieve excellence and fulfill our institutional mission. The University values academic freedom, diversity and respect between members of the university community and is committed to eradicating all types of discrimination and maintaining a no tolerance policy towards sexual harassment.

The current norms, manuals or regulations relating to Human Resources are the following:

- ***Faculty Manual***
- ***Non-Academic Personnel Manual***
- ***Half-Time Faculty Manual***
- ***Internal Regulations for Addressing Claims of Sexual Assault in the Workplace and Academia***
- ***Policy against Sexual Harassment in the Workplace and Academia***
- ***Policy for Equal Employment Opportunities***
- ***Norms and Guidelines to Comply with the Legal Provisions that Prohibit Discrimination against People with Disabilities***

## 6.3 Conflict of interest

All members of the university community must always put the University first when performing their tasks. Tasks must be performed free of all conflict, real or apparent, and each individual is responsible for avoiding any action that may be considered to come into conflict with their main obligation of loyalty to the University. Conflict materializes when an interest, activity or relationship with a

third party influences or appears to influence the way in which responsibilities with the University are performed; in other words, that they prevent the University's interests from coming before any other.

For example: 1) a member of the university community shows interest in an organization that does business or competes with the University; 2) a member of the university community benefits a family member or close person by awarding them contracts or employment.

The following current institutional norms are related to this section:

- ***Guides and Norms regarding Conflicts of Interest***

#### 6.4 Responsible behavior in research projects

The University is responsible for ensuring that research projects are carried out with the highest integrity and in strict compliance with the applicable federal and state laws and regulations, as well as the institutional norms.

The following current institutional norms are related to this section:

- ***Procedures for Addressing Claims and Cases of Inappropriate Conduct in Research Activities***
- ***Policy and Norms regarding the Protection of Rights for Human Subjects who Participate in Research Projects***

#### 6.5 Occupational health and safety

The University is committed to protecting the occupational health and safety of the university community and of maintaining a safe work environment. To achieve this, it is expected that the members of the university community carry themselves wisely in their work areas and that they study the regulation requirements on this topic so they can contribute to maintaining a safe work environment.

The following current institutional norms are related to this section:

- ***Policies and Norms for the Occupational Health and Safety Program of the Inter American University of Puerto Rico***

#### 6.6 Norms for privacy and confidentiality

When performing their duties, many members of the university community handle confidential information. This information may be related to students, employees, faculty members, administrative personnel, alumni, donors, research sponsors, and licenses, among others. It is expected that this information is

handled in compliance with the laws, regulations and contractual obligations undertaken, and in accordance with institutional norms.

The following current institutional norms are related to this section:

- ***Guides, Norms and Procedures for the Protection of Consumer Information***
- ***Regulations for the Student and Alumni Directory of the Inter American University of Puerto Rico***
- ***Norms for the Authorization of Passwords for Administrative Use of the Information System***

6.7 Appropriate conduct regarding travel and entertainment expenses, and gifts

It is expected that all members of the university community abstain from obtaining personal benefits from the position they hold and that travel expenses are carried out according to institutional norms. In addition, any expenses incurred during travel must be reasonable and not extravagant. Finally, it is strictly prohibited that members of the university community demand or receive gifts as a condition to performing their tasks.

The following current institutional norms are related to this section:

- ***Guides, Norms and Procedures for Expenses and Refunds for the Concept of Travel and Other Official Activities***
- ***Credit Card for Executive Personnel Representation Expenses***
- ***Norms for Controlling Expenses for Meetings and Other Official Activities***
- ***Norms for the Collection Payment for the Concept of Management Personnel Representation***

6.8 Management and finances

The University is committed to ensuring that its administrative and financial operations are carried out with discretion and in compliance with the applicable legal framework, regulations and institutional norms. All employees responsible for performing these operations must familiarize themselves with this framework and the regulations.

Likewise, University employees who are directly or indirectly linked to administrative and fiscal operations must ensure that the property, funds and

technology is used appropriately for the benefit of the University and within the legal framework, regulations and institutional norms.

The following current institutional norms are related to this section:

- ***Norms for the Approval and Signing of a Contract, Designation and Professional Services***
- ***Norms for the Procurement of Supplies, Equipment (Including IT Equipment), Software and Nonpersonal Services***
- ***Guidelines for the Conservation, Registration and Disposal of Movable Property Owned by the Inter American University of Puerto Rico***
- ***Norms and Procedures to Develop the Budget***
- ***Norms and Procedures for the Management of Change Funds and Petty Cash Funds***

#### 6.9 Management and administration of government subsidies with external funds

The management and administration of government subsidies with external funds require the highest rigor and strict compliance with all applicable laws and regulations, as well as compliance with the pragmatic commitments contracted with the agencies that award the subsidy. Therefore, it requires complete knowledge of applicable laws, regulations and procedures from all University employees who manage or handle this type of project.

This provision applies to programs and proposals subsidized with external funds, such as Title IV (financial assistance). Violating any provision applicable to the management and administration of government subsidies with external funds will result in the enforcement of the most severe penalties contemplated in the current institutional norms.

- ***Norms Related to the Request, Management and Closing of Projects Subsidized with External Funds***

#### 6.10 Compliance with professional conduct standards

Some directors, officials, employees, students and agents of the University are authorized to exert professions regulated by codes of professional conduct (lawyers, engineers, certified public accountants, social workers, psychologists, etc.). It is expected that these persons comply, in addition, with the standards of

conduct of the University and with the standards of conduct that regulate their profession.

## **VII. Compliance initiative resources**

The University has a compliance program designed to assist the University and the members of the university community in complying with the provisions of this Code and other obligations related to compliance. This program is organized as an institutional dependency and is supervised by a Compliance Management Officer. The program carries out a series of activities aimed at promoting compliance with the law, regulations and institutional norms. These activities include trainings, individual and group coaching, dissemination of information related to compliance, the execution of monitoring and audits, and conducting investigations when necessary.

To contact the Compliance Management Officer, call 787-766-1912, ext. 2293. The compliance program has an open door policy and welcomes any member of the university community searching for information or to clarify any questions related to this Code or the specific compliance with applicable laws, regulations of institutional norms.

## **VIII. How to inform violations or possible violations**

All members of the university community must act ethically and honestly as individuals, so as to maintain the highest ethical standards and compliance with the law. We must make an effort to allow the University to comply with its ethical and legal responsibilities. Therefore, we all have the responsibility to inform a University official of suspicions of misconduct or violations, current or past, to the provisions in the law, regulations or institutional norms. You may choose who to contact with this information, be it your direct supervisor, any other university supervisor, the Human Resources Officer of your academic unit or the Compliance Management Officer.

- 8.1 In case that a person does not feel comfortable sharing their preoccupation through their supervisor or another University official, we have established a line to address compliance situations. Call **1-888-728-6753**, available during business hours. This line is available to clarify any questions about compliance issues with legal and ethical provisions, as well as to receive information about alleged violations to these provisions. These calls may be anonymous, at the discretion of the caller. However, it must be clear that anonymous calls hinder the investigation process, since it is impossible to follow up with an anonymous caller.
- 8.2 In addition, the University has made available an email address in our website, which may be used to inform any concerns related to the violation or suspicion of violation to the provisions in this document.

The email address is:

[cumplimiento@inter.edu](mailto:cumplimiento@inter.edu)

This email address can be accessed from any computer and any place, as long as there is an internet connection available. This form of communication is not anonymous.

- 8.3 When an allegation of a possible violation to the provisions of the law or misconduct are received, they will be investigated and kept confidential within the framework of the law. Information regarding the investigation will only be shared with the individuals necessary to investigate, review and resolve the situation.

All members of the university community who present a complaint or alleges a violation must act in good faith and possess personal knowledge that allows the reasonable belief that the presented complaint or allegation constitutes a violation.

8.3.1 If a member of the university community presents a complaint or makes an unbased allegation, or if it can be proven that it was presented with malicious intent or dishonesty, they will be subject to the most severe penalties contemplated in the institutional norms.

- 8.4 Any member of the university community who possesses knowledge that a violation against the law or ethical provisions is being committed, but does not inform it, will be subject to the most severe penalties contemplated in the institutional norms.

## **IX. Contact**

Compliance Management Office  
Apartado 363255  
San Juan, PR 00936-3255  
787-766-1912 ext. 2293

## **X. Severability**

If any part or section of this document is declared null by a competent authority, this decision will not affect the other parts or sections.

## **XI. Repeal or Amendment**

This document repeals Normative Document G-1113-037 and any other regulations that come into conflict with what is stated here. This document may be amended or repealed by the President of the University.

## **XII. Validity**

This document is valid immediately after being approved and signed by the President.



**XIII. Approval**

**SIGNED BY THE PRESIDENT ON THE 12TH OF APRIL, 2019**

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Manuel J. Fernós, Esq.  
President

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Date (MM-DD-YYYY)