

1 Reporting Responsibility - Violations

2 Effective: Moved to Policy Library from UPM 2.5(15)

3 Updated/Revised: November 1, 2012

4 Contact: [Office of University Counsel](#)

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6 Introduction

7 The purpose of this policy is to explain the responsibility of students, employees, and visitors to report
8 potential or suspected violations of policies, regulations, and laws.

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10 Policy Statement

11 The Code of Business and Fiduciary Conduct (see [Resources](#) below) makes each of us responsible for bringing
12 to the attention of the appropriate office (as indicated below) suspected violations of applicable—

- 13 • University standards and policies
- 14 • State and federal laws and regulations
- 15 • Government contracts and requirements

16 Failure to report known or suspected violations and crimes as indicated in this policy is itself a breach of
17 university ethical standards and can lead to discipline of employees and students, up to and including
18 separation from the university. As provided by the Non-Retaliation Against Persons Reporting Misconduct
19 Policy (see [Resources](#) below), reports made in good faith will not jeopardize the reporter's position or
20 employment.

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22 Violations of Concern to the University

23 This policy applies to violations that:

- 24 • Occur on university property, including leased facilities;
- 25 • Interfere with any university obligation, whether legal, contractual or otherwise; or
- 26 • Occur between members of the university community of students, faculty, staff and visitors to ISU
27 property.

28 Scope

29 For purposes of this policy the term “employees” includes administrators, faculty, staff, graduate assistants
30 and visiting or collaborating faculty subject to the Faculty Handbook.

31 All employees have the obligation to report under this policy except for professions which retain obligations
32 of confidentiality under accepted codes of ethics. Such professions include:

- 33 • Employees of the Office of the Ombuds, as required by accepted Ombuds codes of ethics;
- 34 • Clergy, including any chaplains, as required by accepted standards of ethics; and
- 35 • Attorneys as required by the rules of professional responsibility and specifically applicable to attorneys
36 employed to provide legal assistance to students.

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39 **Reporting**

40 **Standard for Good Faith Reporting**

41 To the extent known, reporters are expected to provide truthfully and in good faith the following
42 information:

- 43 • Name and/or description of the person engaged in misconduct;
- 44 • Name and/or description of alleged victims;
- 45 • Time and date;
- 46 • Location; and
- 47 • Information and evidence supporting the allegation that misconduct has occurred.

48 **For emergencies, students, employees, and visitors should report by calling 911, whether they are on central
49 campus or on other university property.**

50 **Criminal Misconduct and/or Violence**

51 Members of the university community have a responsibility to report any suspected crime to the Iowa State
52 University Police. In the case of incidents not on the Ames campus, local police authorities should also be
53 called in order to avoid any delay in response. It is especially important to report any suspected crime of
54 violence or other crime that may result in significant harm to individuals or property loss or damage.

55 **Physical and Sexual Abuse of Children**

- 56 • Consistent with Iowa Code §262.9(36), all university employees who in the course of employment
57 receive information related to suspected physical or sexual abuse of children must immediately report
58 such information to the Iowa State University Police. In the case of incidents not on the Ames campus,
59 local police authorities should also be called in order to avoid any delay in response.
- 60 • University employees who are mandatory reporters of all forms of child abuse (not just physical or sexual
61 abuse) under state law must also fulfill their statutory obligation to report to the Department of Human
62 Services as provided by Iowa Code §232.67-70.
- 63 • University employees, students and visitors who are not mandatory reporters may, and are strongly
64 encouraged to report all forms of child abuse directly to the Department of Human Services as provided
65 under Iowa Code §232.67-70.

66 See [Resources](#) below for Guidance on Child Abuse Reporting

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69 **Financial Misconduct**

70 The university has obligations for proper expenditure of funds as prescribed by the source of funds. Grant
71 and contract funds must be expended consistent with the funding source and conditions of the grant or
72 contract. Expenditure of donated funds must be consistent with donor restrictions.

73 The university has an obligation to report to federal authorities a significant overpayment or violation of the
74 civil False Claims Act or a federal criminal law involving fraud, conflict of interest, bribery, or gratuity when
75 credible evidence exists that such conduct occurred in connection with a federal contract performed by the
76 university or its subcontractors.

77 Employees should report such concerns to the:

- 78 • [Office of Internal Audit](#), or
- 79 • [Office of University Counsel](#).

80 These offices are responsible for making recommendations on reporting and other appropriate action.

81 **Other Violations**

82 Other violations should be reported as indicated below:

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TYPE OF VIOLATION	REPORT TO
Employee Misconduct	University Human Resources or Senior Vice President and Provost (faculty misconduct)
Discrimination and Harassment	Office of Equal Opportunity
University Policy	Policy Administrator
Research Misconduct	Office for Responsible Research
Student Disciplinary	Office of Student Conduct
NCAA	Athletics Compliance

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85 Individuals may use the ISU Confidential Hotline to report matters other than serious crimes, student
86 misconduct, employee misconduct and discrimination and harassment. Crimes involving harm or violence
87 should be reported directly to the Iowa State University Police to avoid further damage or endangerment to
88 the public. [top](#)

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91 **Resources**

92 **Links**

- 93 • [Violence-Free University policy](#)
- 94 • [Non-Retaliation Against Persons Reporting Misconduct policy](#)
- 95 • [Code of Business and Fiduciary Conduct](#)
- 96 • [Office for Responsible Research](#)
- 97 • [Office of Internal Audit](#)
- 98 • [Office of University Counsel](#)
- 99 • [Ombuds Office](#)
- 100 • [Safety and You](#)
- 101 • [ISU Confidential Hotline](#)
- 102 • [Reporting Responsibility - Violations \[Policy in PDF with line numbers\]](#)

103 **Files**

- 104 • [Guidance on Child Abuse Reporting \[PDF\]](#)