

1 Reporting Responsibility - Violations

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

3 Updated/Revised: November 1, 2012

4 Reviewed and Updated: February 28, 2018

5 Contact: Office of General Counsel

7 Introduction

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

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11 Policy Statement

12 The code of business and fiduciary conduct (see [Resources](#) below) makes each of us responsible
13 for bringing to the attention of the appropriate office (as indicated below) suspected violations of
14 applicable—

- 15 • University standards and policies
- 16 • State and federal laws and regulations
- 17 • Government contracts and requirements

18 Failure to report known or suspected violations and crimes as indicated in this policy is itself a
19 breach of university ethical standards and can lead to discipline of employees and students, up to
20 and including separation from the university. As provided by the non-retaliation against persons
21 reporting misconduct policy (see [Resources](#) below), reports made in good faith will not jeopardize
22 the reporter's position or employment.

23 Violations of Concern to the University

24 This policy applies to violations that:

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

29 Scope

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

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

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

38 **Reporting**

39 **Standard for Good Faith Reporting**

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

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

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

49 **Criminal Misconduct and/or Violence**

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

55 **Physical and Sexual Abuse of Children**

- 56 • Consistent with Iowa Code §262.9(37), all university employees who in the course of
57 employment receive information related to suspected physical or sexual abuse of children must
58 immediately report such information to the Iowa State University police. In the case of incidents
59 not on the Ames campus, local police authorities should also be called in order to avoid any
60 delay in response.
- 61 • University employees who are mandatory reporters of all forms of child abuse (not just physical
62 or sexual abuse) under state law must also fulfill their statutory obligation to report to the
63 department of human services as provided by Iowa Code §232.67-70.
- 64 • University employees, students and visitors who are not mandatory reporters may, and are
65 strongly encouraged to report all forms of child abuse directly to the department of human
66 services as provided under Iowa Code §232.67-70.

67 See [Resources](#) below for guidance on child abuse reporting.

68 **Financial Misconduct**

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

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

77

78 Employees should report such concerns to the:

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

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

83 **Other Violations**

84 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

86 Individuals may use the ISU compliance and ethics hotline to report matters other than serious
87 crimes, student misconduct, employee misconduct and discrimination and harassment. Crimes
88 involving harm or violence should be reported directly to the Iowa State University police to avoid
89 further damage or endangerment to 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 General Counsel](#)
- 99 • [Ombuds Office](#)
- 100 • [ISU Annual Security Report \(Clery\) - ISU Police](#)
- 101 • [ISU Compliance and Ethics Hotline](#)

102 **Files**

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