



WICHITA STATE UNIVERSITY
CODE OF ETHICS AND BUSINESS CONDUCT

SHOCKER PRIDE

As a state educational institution of Kansas, Wichita State University is committed to providing state of the art educational, research and testing opportunities. This is accomplished by upholding the University's ethics policy, adhering to all Federal, State, and Local laws, and abiding by the policies and procedures as set forth by the Kansas Board of Regents.

These guidelines establish Wichita State University's policies and procedures for ethical business conduct in the classroom as well as private and public partnerships with the community. The University prides itself on its relationships with its employees, students, and suppliers alike and endeavors to foster an atmosphere that emphasizes positive interactions via applied learning, research and testing, and employment services.

As the University continues to focus on being internationally recognized for its applied learning and translational research, it recognizes the importance of being on one accord in mindset and in what it does. Together, as the University faces obstacles and seizes opportunities, it will work diligently to stand firm on the foundation of the guiding principles of the University to be an essential educational, cultural, and economic driver for Kansas and the greater public good.

SHOCKER VALUES

VISION:

Wichita State University is internationally recognized as the model for applied learning and translational research.

MISSION:

The mission of Wichita State University is to be an essential educational, cultural, and economic driver for Kansas and the greater public good.

VALUES:

Seizing opportunities
Success for all stakeholders
Diversity of culture, thought, and experience
Adaptive approaches
Teamwork
Positive risk-taking

SHOCKER COMMITMENT

Committed to excellence in education, research and testing, and community engagement. Moreover, WSU believes in providing a work environment that is ethical, inclusive, and compliant. As such, at the beginning of each fiscal year, Shocker faculty and staff sign the “Shocker Way” demonstrating each individual’s personal commitment and responsibility in adhering to the University’s established expectations, policies and procedures. Shockers will:

- Not engage in conduct and activity that may call the University’s honesty, integrity, or brand into question.
- Not conduct business that will create a conflict of interest in their employment.
- Follow all restrictions on use and disclosure of information; however, will not release confidential, trade secret, and/or other proprietary information of WSU or any third party as restricted agreement, including but not limited to, the name, logos, insignias or trademarks of WSU, any affiliates of WSU student or personnel records, health records, intellectual property, or any classified or controlled information, or any other restricted or private information under law, absent written consent from a duly authorized representative of the University.
- Ensure all proprietary information is handled with a reasonable degree of care to avoid accidental disclosure and only disclose said information with the written consent of the authorized owner or as otherwise permitted by law.
- Without exception, adhere to ALL applicable laws, rules and regulations.
- Promptly report all incidents of illegal, unethical, or misconduct to the EEO or other appropriate authorities.

Shocker employees will adhere to Chapter 3 of the University’s policies and procedures (see http://webs.wichita.edu/inaudit/ch_3.htm) concerning our code of conduct.

SHOCKER PROMISE

University Resources:

Work together to ensure the most efficient, effective, and environmentally friendly use of University resources. University resources include but are not limited to printers, computers, WSU network, internet connection, procurement cards, intellectual property, WSU vehicles, etc. It is imperative that sound judgment is used to avoid injury, misconduct, or abuse of these resources and when in doubt, ask the appropriate authorized personnel. Faculty and employees may also reference the Wichita State University policies and procedures for clarification (see <http://webs.wichita.edu/inaudit/tablepp.htm>).

Safeguarding Information:

Appropriate measures are taken to secure University's technologies, processes and services; and is essential to University success. The consequences of not protecting such information can diminish the University's competitiveness. All University employees, contracted consultants and subcontractors are expected to maintain the confidentiality and protect the proprietary information entrusted to them by the University, our customers and suppliers, unless disclosure is authorized pursuant to applicable law or regulation.

Proprietary information can include technical and nontechnical data and/or information. Mishandling of such information can be unintentional or intentional; however, the effects can still be harmful. Examples of technical and non-technical proprietary information can include but is not limited to industry data, strategies, financial status, federal programs, test methods, analysis methods, strain gauging methods, software, personally identifiable information, health information, export controlled technical data, and third party data.

Protecting information and computing resources is the responsibility of every University employee (see http://webs.wichita.edu/inaudit/ch19_01.htm). Being compliant and vigilant in information protection practices helps ensure that University's vital data, customer information and employees' personal information are secure.

Accurate Financial Records:

The University is committed to being compliant with internal and external reporting requirements and understands that the accuracy and integrity of its financial records are vital to its continued success.

WSU maintains an accounting system and related internal controls throughout the performance of each contract/grant that ensure: (a) compliance with applicable laws and

regulations as an higher educational institute; (b) WSU's accounting system and cost data are reliable; and (c) subcontract allocations and charges are consistent with its invoice procedures. As a State agency, WSU's accounting, billing, recording, estimating, property management, and purchasing systems are under the Kansas State system and are accepted by its cognizant agency Department of Human and Health Services. The University has not met the federal funded award threshold of fifty million as such, the University is not required to comply with the Cost Accounting Standards.

Business Courtesies:

Business Courtesies is defined as anything of value, a favor or a benefit provided free of charge or at a charge less than fair market value. University employees must ensure that any gifts given or received are lawful and justifiable. Even the appearance of favorable treatment must be avoided. Employees should always ask questions and present potential concerns to the WSU General Counsel's Office.

▪ **Accepting/Offering Business Courtesies**

Business courtesies can be in the form of a gift, cash, discounts, entertainment, training, seminar, or other business-related events, gift cards/certificates, honoraria etc. University employees are restricted from requesting or accepting business courtesies from University customers, contracted consultants, subcontractors and/or any individual or businesses when it is perceived that such gifts are being provided in exchange for special privilege by the University. Employees must also adhere to section 3.39 of University's Policy and Procedures (see http://webs.wichita.edu/inaudit/ch3_39.htm).

The University will not tolerate any form of bribery or corruption in any of its business relationships. Specifically, the University prohibits offering, giving, soliciting or receiving any form of bribe or kickback. University employees, subcontractors, and consultants must be cognizant of any and all gifts given and/or received to individuals or businesses and should always consult upper management or WSU's General Counsel's office.

Conflict of interest:

The University "Conflict of Interest Policy" outlines the process and procedures to be followed regarding disputes and resolution. University employees will adhere to Section 3.04 of the University's policies and procedures (see http://webs.wichita.edu/inaudit/ch3_04.htm).

Engaging Suppliers and Third Parties:

The University understands that its business relationships are vital to its overall success and is committed to ensuring such relationships continue to allow the University to be competitive. The University purchase commitments/agreements are based on many factors: cost, service, quality and delivery. As a state educational institution of Kansas, University employees must

adhere to Chapter 14 of University's policies and procedures (see http://webs.wichita.edu/inaudit/ch_14.htm).

The University requires that all individuals and/or businesses providing services conduct business with the highest degree of integrity and trust. In addition, the University expects that suppliers adhere to all applicable regulations and laws as it pertains to the work and/or services being provided.

Political Activities:

The University encourages employees to be involved in political activities. Accordingly, all employees must adhere to University's policies and procedures found in Sections 3.17 and 11.2 (see <http://webs.wichita.edu/inaudit/tablepp.htm>).

Export Compliance:

The University is committed to providing research and testing services. In doing so, it is possible for export transactions to take place, and the University is committed to ensuring that all such transactions are in full compliance with all applicable statutes and regulations.

The transfer or disclosure ("release") of an actual shipment of physical items, transmission of information or the provision of services to foreign countries or non-U.S. Persons in the United States or abroad. This includes "deemed exports" which are the release of export-controlled technology, information or source code to a foreign national located in the U.S.

Examples of deemed exports can include:

- Tours of laboratories
- Foreign national employees involved in certain research & development activities
- Foreign students or scholars conducting research
- Presentations at conferences and symposiums, even if the event is in the U.S. but has foreign participation.

Exports may require a license from the U.S. government. Contact the [Office of Research Compliance](#) to determine whether the contemplated export of materials, information or services requires government authorization.

University employees, subcontractors, and consultants must ensure that their actions do not violate export/import or sanctions controls as such violations can lead to civil or criminal fines and penalties, debarment, imprisonment and harm to the University's reputation. All employees must adhere to University's policies and procedures found in sections 9.21 and 16.07 (see <http://webs.wichita.edu/inaudit/tablepp.htm>). To report an export violation,

Fair Competition:

The University believes in fair and open contract and agreement practices with suppliers and industry business whether in the U.S or abroad. The University is committed to ensuring that such contracts/agreements compete on the basis of price, service, quality, delivery and comply with applicable anti-corruption laws.

The University forbids any form of bribery and corruption and expects university employees to comply with all laws and or regulations. The consequences of not adhering to such laws or regulation can cause undue financial consequence as well as damage to the University's reputation.

Combating Human Trafficking:

The University is committed to combating human trafficking in persons and does not tolerate or condone human trafficking of any form or at any level within the University. University Employees, contracted consultants, and subcontractors found violating any form of human trafficking are subject to appropriate corrective action including termination of employment or contract. More information can be found in Section 20.25 of Universities Policies and Procedures (https://www.wichita.edu/about/policy/ch_20/ch20_25.php)

Employees may report without fear of retaliation, activity inconsistent with the policy prohibiting trafficking by contacting WSU's Employee Reporting hotline at 844-724-5631 or the Global Human Trafficking Hotline at 1-844-888-FREE or via email at help@befree.org . All hotlines allow anonymous reporting as permitted by applicable law.

Who to Contact:

For questions related to this ethics policy, or to report a potential breach of this Code please contact Office of The General Counsel for WSU:

By regular mail

Wichita State University
General Counsel's Office
1845 Fairmount, Box 002
Wichita, KS 67260

By telephone

(316) 978-5582