

BR106.2

BOARD RULE 106.2

Office of Risk Management
The University of Alabama System



INTRODUCTION

- This PowerPoint provides an overview and introduction to Board Rule 106.2, which was adopted by the Board of Trustees in November 2014.
- The full text of the rule may be found [here](#).



*Board Rule 106.2 is intended to encourage
good judgment and wise discretion in all of
our actions.*



SIX SECTIONS OF BOARD RULE 106.2

1. Purposes
2. System Risk Program
3. System Risk Committee
4. Campus Risk Programs
5. Prompt Reporting
6. System Code of Conduct



PURPOSES OF BOARD RULE 106. 2

1. Culture

To endorse an organizational culture that encourages effective consideration and management of risks.

2. Ethics

To promote ethical conduct and the appearance of ethical conduct.



TO WHOM DOES BOARD RULE 106. 2 APPLY?

- The Board of Trustees and Senior Staff
- University community members
 - ✓ Faculty
 - ✓ Staff
 - ✓ Students
 - ✓ Volunteers
 - ✓ Contractors
 - ✓ Agents
 - ✓ Affiliates
 - ✓ Others providing services to or on the behalf of The University of Alabama System or its institutions



PROMPT REPORTING REQUIREMENT

- Campus officers must promptly report the following:
 - ✓ A significant occurrence or threat which has caused or poses an imminent risk of substantial injury or harm to:
 1. Persons
 2. Property
 3. The surrounding community
 4. Reputational harm to The University of Alabama System or its institutions
- Such reports may be conveyed in accordance with applicable legal privileges.



THE UNIVERSITY OF ALABAMA SYSTEM

CODE OF CONDUCT

- The University of Alabama System Code of Conduct supplements campus-specific policies, codes and rules, e.g. [UAB Enterprise Code of Conduct](#).
- The Code binds in letter and spirit.
- The Code is not a “checklist.” It is aspirational in nature and encourages good judgment and wise discretion of all University community members.



SYSTEM CODE OF CONDUCT – RULE #1

- Provide quality education, research, healthcare, business interactions, and other services.
- The Board of Trustees expects ethical and professional conduct, honesty, conscientious behavior, appropriate awareness of responsibilities, and personal accountability.



SYSTEM CODE OF CONDUCT – RULE #2

- **Treat individuals with respect.**
- The Board expects tolerance, diversity, respect, fairness, and equal opportunity for our community. University community members should avoid illegal harassment, discrimination, threats, and violence.



SYSTEM CODE OF CONDUCT – RULE #3

- Comply with applicable laws, regulations, and policies.
- University community members should learn and follow governing rules, be proactive to prevent and detect violations, properly report suspected violations, and act to ensure proper resolution of issues and conflicts related to the same.



SYSTEM CODE OF CONDUCT – RULE #4

- **Use confidential information responsibly.**
- University community members should be wise custodians of confidential, proprietary, and private information.



SYSTEM CODE OF CONDUCT – RULE #5

- Acknowledge and appropriately manage conflicts of interest.
- University community members should be loyal to our missions and institutions, appropriately objective and impartial in exercising their duties and discretion, and follow applicable ethical standards. University community members must not use public offices or resources for private or other improper gain, or otherwise act under an improper conflict of interest related to their duties.



SYSTEM CODE OF CONDUCT – RULE #6

- **Safeguard and accurately account for resources.**
- The Board expects University community members to be responsible stewards of, and appropriately account for, resources, including property, equipment, finances, material, electronic and other systems. University community members should prevent waste and abuse, adopt and follow appropriate protocols, exhibit sound practices, and seek efficiency in operations.



SYSTEM CODE OF CONDUCT – RULE #7

- **Promote a safe environment.**
- University community members should promote personal safety, good practices, and security.



SYSTEM CODE OF CONDUCT – RULE #8

- **Document, code, bill, and collect in accordance with applicable rules and regulations.**
- Compliance with law and regulations is a priority in all operations. Recordkeeping should be in accordance with such goals.



THE UAS HOTLINE

- A “hotline” for reporting purposes shall be maintained as part of the UA System program.
- **HOW TO REPORT**
 - ✓ If you see or suspect unethical or illegal behavior, you may report your concerns anonymously by contacting The Network, Inc. (TNI).
 - ✓ Call toll-free 24 hours a day, 7 days a week:
 - ✓ **1-866-362-9476**
- **FILE A REPORT ON LINE**
 - ✓ Visit The University of Alabama System Office of Risk Management Hotline [website](#).
- After processing the report, TNI will provide the information to designated officials for appropriate action.
- Reports are handled promptly. Retaliation is prohibited.



RETALIATION

- Retaliation shall not take place for good faith reports.
- Appropriate consequences, up to and including termination, expulsion, or other sanctions, should flow from violations of these standards.



ADDITIONAL RISK RESOURCES

- The University of Alabama System [Hotline](#)
- The University of Alabama System [Office of Risk Management](#)
- Your Supervisor(s)
- Campus Risk and Compliance Officials
 - ✓ UA Office of Risk Management: <http://riskmanagement.ua.edu/>
 - ✓ UAB Office of Compliance: <http://www.uab.edu/compliance/>
 - ✓ UAB Office of Risk Management: 205.934.5577
 - ✓ UAH Office of Risk Management: <http://www.uah.edu/rmi>



FOR MORE INFORMATION, PLEASE CONTACT:

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