



Sustainable transformation through innovation”

Lusaka Goldsmiths University

Code of Ethical Conduct

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1.0 Policy Purpose

Lusaka Goldsmiths University is an institution of higher education dedicated to the highest ethical standards in pursuit of its *mission*. This Code of Ethical Conduct (Code) is a shared statement of the individual and collective commitment of members of the LGU community to upholding the ethical, professional and legal standards we use as the basis for our daily and long-term decision-making and actions. The Code is of a general nature and equally addresses specific issues relating to Students of the University and Academic staff.

1.1 Definitions –

In the context of the Code of Conduct LGU means, ‘Lusaka Goldsmiths University’.

2.0 To Whom the Policy Applies

The Code applies to all members of the LGU community. For purposes of this Code, LGU community members are: members of LGU Board of Directors/Council, faculty lecturers and other administrative staff, general staff, undergraduates and graduates of all faculties, visiting scholars; volunteers; and others associated with and acting for the University.

3.0 Policy Statement

Members of the LGU community are responsible for sustaining the highest ethical standards of the University, and of the broader community in which they function. The University values integrity, honesty and fairness, and strives to integrate these values into its teaching, research and business activities.

Lusaka Goldsmiths University community members must be cognizant of, and comply with, the relevant policies, standards, laws and regulations that guide their work. Each member of the LGU community is individually accountable for their own actions, and all community members are collectively accountable for upholding the standards of behavior set forth in this Code and for compliance with all applicable laws and policies. The following are the primary principles that the University expects LGU community members to uphold.

3.1 We Respect Academic Freedom & Freedom of Expression & Inquiry

Lusaka Goldsmiths University maintains, on behalf of its community, that academic freedom is essential to the function of education and to the pursuit of scholarship in universities and, mindful of its commitment to scholarship and to the free exchange of ideas, affirms that members of the community shall enjoy

full freedom in their teaching, learning, and research. This includes freedom of religious belief, of speech, of press, of association and assembly, of political activity inside and outside the University, the right to petition the authorities, the public and the University and that students and faculty members as such should not be required to take any oath not required of other citizens.

The time, place and manner of exercising these rights shall be subject to reasonable regulation only to prevent interference with the normal functions of the University. The University's commitment to academic freedom can be found in full in the University Charter.

3.2 We Treat Each Other with Respect and Dignity

Lusaka Goldsmiths University is an institution dedicated to the pursuit of excellence and facilitation of an environment that fosters this goal. Central to this institutional commitment is the principle that each community member must treat other community members fairly and with respect and dignity. Also inherent with these expectations is that the University will not tolerate any instance of bullying behavior, or retaliation of any kind. Aligned with this principle, Lusaka Goldsmiths University maintains a policy of non-discrimination and affirmative action stated as:

“Lusaka Goldsmiths University provides equal opportunities and prohibits discrimination, harassment and retaliation based upon a person's race, color, religion, sex, age, national or ethnic origin, disability, or other characteristics protected under applicable laws in Zambia, in the administration of its policies, programs, and activities. The University recognizes and rewards individuals on the basis of qualifications and performance.

The University maintains an affirmative action program in employment for women and persons with disabilities and requires its employees to make good faith efforts to comply with the program. The University encourages those with whom it conducts business to meet the commitments of this important program.”

3.3 We Act with Integrity

In order to ensure that the University can dedicate itself fully to its mission, it is expected that an individual's personal integrity will be reflected not only in honest and responsible actions, but also in a willingness to provide direction to others whose actions may be harmful or counterproductive to themselves or the community. The University expects that members of the LGU community will

be truthful and forthright; and will not engage in behavior that endangers their own sustained effectiveness or that has serious ramifications for the safety, health, well-being or professional obligations of the individual community members themselves or others.

3.3.1 We Comply with Laws and Regulations

Lusaka Goldsmiths University, through its established policies and procedures, seeks to ensure that the LGU community members carry out their responsibilities, duties and obligations consistent with legal and regulatory requirements and conduct themselves in the best interests of the University. It is the responsibility of each community member to comply with the applicable standards and requirements.

Managers and supervisors are also responsible for knowing the legal and regulatory requirements that pertain to their areas of oversight and responsibility. They are responsible for determining and ensuring that each community member has adequate knowledge of the applicable laws and regulations to perform their work correctly and receive appropriate training on an ongoing basis, as well as for communicating requirements, evaluating performance, and monitoring compliance. Managers and supervisors with questions about compliance should consult with the Office of the Registrar where the University Compliance office is situated.

3.3.2 We Maintain Confidentiality and Privacy of Information

Members of the LGU community receive and produce various types of confidential, proprietary and private information on behalf of the University. Access to confidential information should be limited to those who require it to discharge their duties. When confidential information is received, community members have a responsibility to maintain and safeguard this information and use it with consideration and ethical regard for others. Non-public information regarding the University must not be divulged to an outside party, or to those within the University, except for legitimate business, research or academic purposes. Members of the community must not directly exchange with another institution University information that includes prospective tuition, financial aid or salary plans.

A community member's obligations regarding confidential information continues after their employment, academic, or other relationship with the University ends. It is imperative that all members of the University community comply with all laws, regulations, third-party contracts and University policies and procedures pertaining to the use, protection and disclosure of confidential information.

3.3.3 We Avoid and Disclose Conflicts of Interest and Commitment

All decisions and actions taken by members of the LGU community in the conduct of University business, research and teaching, must be done in a manner that promotes the best interests of the University. Community members have an obligation to address both the substance and the appearance of conflicts of interest and commitment and, if they arise, to disclose them according to the University's relevant policies and guidelines on Conflict of Interest and Commitment Policy. Individuals must also withdraw from deliberations, voting or other decision-making processes where a conflict of interest exists or might arise.

3.3.4 We Maintain & Report Complete & Accurate Financial Information

Members of the LGU community are required to adhere to University policies for financial accounts, reports, expense reimbursements, time and effort submissions, and other transactions and documents. Requirements include maintaining accurate books, records and University financial reports to reflect complete and accurate information.

3.3.5 We Follow Signatory Authority Delegations

Accepting an agreement or contract, including sponsored project funding, may create a legal obligation on the part of the University. This requires compliance with the terms and conditions of the agreement as well as applicable laws and regulations. Therefore, only those community members possessing authority delegated by an appropriate University official may enter into agreements or contracts on behalf of the University. Community members who do not have this delegated authority cannot sign agreements.

3.3.6 We Ensure a Healthy and Safe Environment

Each community member has a shared responsibility to ensure a safe workplace and to protect the health and safety of all who work, study and for the future, will live within Lusaka Goldsmiths University premises, as well as of visitors. This means adhering to health and safety policies and practices; complying with all environmental, health and safety laws, regulations and related University policies; attending required training; and reporting unsafe conditions, equipment or practices through appropriate reporting channels.

Members of the LGU community must also adhere to all applicable environmental laws and commit to maintaining the necessary environmental permits and approvals. Environmental compliance also includes the proper handling, storage, use, disposal of all materials that are regulated under applicable environmental law.

3.3.7 We Follow Professional Standards

Some professions and disciplines are governed by standards and codes specific to their profession (such as legal practitioners, certified accountants and medical practitioners). These professional standards generally advance the quality of the profession and/or discipline by developing codes of ethics, conduct and professional responsibility and standards to guide their members. If individual community members belong to such organizations, they are expected to adhere to University policies and this Code of Conduct, in addition to any professional standards.

3.3.8 We Speak Up and Appropriately Report Suspected Violations

Community members are expected to report suspected violations of applicable laws, regulations, government contracts and grant requirements, and of this Code of Conduct. In some situations, mandatory reporting is required. For faculty, staff and students, this reporting should initially be made through standard reporting channels, beginning with their immediate supervisor, or relevant dean, administrator, lecturer, or advisor. If for any reason it is not appropriate to report suspected violations to these individuals (e.g., the suspected violation is by the supervisor), community members should go to their supervisor's supervisor or through other existing reporting channels (such as reporting allegations of inappropriate workplace behavior to the University Human Resources in the Registrar's office).

The University expects that all reports will be made in a good faith effort to address legitimate issues needing correction, or to otherwise provide reliable information. Retaliation is not permitted against anyone for reporting in good faith.

3.3.9 We Cooperate Fully

All LGU community members must commit to cooperate fully with any audit, inquiry or investigation undertaken at LGU's direction by its legal representatives, investigators, internal auditors or independent accountants engaged by the university.

3.4 We Respect the Use of University Resources and Property

Each member of the LGU community commits to respect and conserve the general and information technology resources and property of the University. These resources and property are assets in which all community members have a vested interest, as they specifically support the University's mission.

More specifically, these consist of real property, personal property and intellectual property, which includes, but is not limited to: University equipment and tools, communications systems, assets and solutions; technology; software and service licensing; procurement cards; databases containing personal information; patents, trademarks and copyright; and vehicles. It also includes the time and effort of faculty, staff, students and others at LGU, and those resources purchased/paid with University funds, including funds received through government or other external funding sources.

Use of University resources, with the exception of incidental and/or intermittent use of computing resources and cellular devices, in accordance with related policies, is primarily reserved for business purposes on behalf of the University. The use of University resources for personal gain or advantage, or for the benefit or gain of any other individual or outside entity (including organizations in which individuals have a vested interest) is strictly prohibited. Community members may not use the University name and/or visual identity (logos or associated images or word marks), other than in the context of their LGU responsibilities.

4.0 Responsibilities

All individuals to whom this policy applies are responsible for becoming familiar with and following this policy. University supervisors are responsible for promoting the understanding of this policy and for taking appropriate steps to help ensure compliance with it.

LGU employees will periodically be asked to read and sign the Code of Conduct Compliance Certification attesting to their commitment to adhere to the University Code of Conduct. Other members of the LGU community may be subject to, and expected to follow, established attestation requirements applicable to them such as the student code of conduct, academic code, etc.

Adherence to this University Code of Conduct also makes LGU community members responsible for bringing suspected violations of applicable standards, policies, laws or regulations to the attention of the appropriate University office. Raising a concern in good faith is a service to the University and does not jeopardize one's position, employment, enrolment or academic standing.

6.0 Consequences for Violating this Policy

Enforcement of the Code of Conduct will follow appropriate (e.g., staff, faculty, student) disciplinary processes. Failure to comply with this Code and related policies is subject to disciplinary action, up to and including suspension without pay, or termination of employment or association with the University, in accordance with applicable (e.g., staff, faculty, student) disciplinary procedures,

or for non-employees may result in the suspension or revocation of the user's relationship with Lusaka Goldsmiths University. In some circumstances, civil and criminal charges and penalties may apply.

7.0 Related Information

Lusaka Goldsmiths University is a community in which employees are encouraged to share workplace concerns with University leadership. Mechanisms shall therefore be devised through which community members would be encouraged to anonymously report violations to the University leadership.

8 Model Code of Ethics for Academic Staff

This part provides a framework for a model code of practice for ethical conduct by academic staff and students at Lusaka Goldsmiths University.

8.1 Principles

Members of academic staff appointed by the University shall be expected to conduct themselves in accordance with the general principles of ethical conduct underlined in this document which principles apply to academic staff relations with (i) the governing body, management and other organs of the University, (ii) other academic and support staff, (iii) students, and (iv) any other persons or groups having a contractual or other relationship or interest in the work of the University.

8.2 Model Code

In pursuance of general principles of ethical conduct, the University shall adopt and publish rules governing (i) conduct including discipline and sanctions; (ii) appointment, promotion, and termination of appointment; (iii) scientific research; and (iv) examinations and assessment.

As a minimum, the rules shall expressly incorporate the principles of ethical conduct and provide sanctions for non-compliance in accordance with the law in force.

8.3 General Rights and Responsibilities of Academic Staff

8.3.1 Academic staff of the University have the right:

- a. to academic freedom;
- b. to be judged as a scholar and a teacher on the basis of intellectual and professional criteria and not on their political and religious views, or other matters of personal preference;

- c. to decide on the content of the courses they teach in line with the requirements of the curricula;
- d. to grade student performance and achievements according to the grading policies of the university and pre-set grading criteria;
- e. not to accept any instruction to act or refrain from acting in a particular way from any individual except a higher authority, or from any political party, trade union or religious group, except as permitted by law;
- f. to report any alleged non-compliance with the law in force or the ethical principles to the relevant authority in confidence without adverse personal consequences.

8.3.2 Academic Staff of have the responsibility:

- a. to place the interests of the institution above their own interests, and should not seek to profit from their positions otherwise than as provided by the law in force;
- b. in relation to any person or group within or external to the institution, not to solicit or accept any bribe or other unlawful financial consideration, or seek or accept any other personal favour, which may influence them in their work, and must immediately report any attempt to bribe or offer personal favour to the relevant authority as prescribed.
- d. not to misuse the resources of the University, or personal or commercial information held by it, including intellectual property, for personal gain or that of any other person or group;
- e. to conduct themselves according to the general principles of ethical conduct when participating in appointment, promotion or other committees affecting academic staff, and when participating in committees or other bodies concerned with admission, assessment, examination and other actions relating to students, and in individual and group activities with students;
- f. to respect the students of the university and avoid any exploitation or harassment, or discriminatory treatment of students;
- g. to respect the diversity of students including, but not limited to, their political and religious beliefs;
- h. to protect academic freedom of students;

- i. not to engage in plagiarism, fail to cite or attribute the work of others, falsify results, and abide by ethical principles in relation to protection of personal data, and other specific principles in defined subject areas according to the rules of the University when participating in research activities;
- j. not to discriminate against or harass colleagues and to respect the diversity of opinions and free expression;
- k. to ensure that all persons under their authority are made aware of the relevant laws and rules and the consequences of non-compliance, and to promote ethical conduct;

8.4. Disciplinary Measures and Sanctions

Disciplinary measures should be based on the principles of fairness, confidentiality, and timely notice.

- a. Complaints on the violation of the code of practice for academic staff ethical conduct should be in writing to the respective departmental/University unit mandated with the responsibility to consider and decide on alleged violation of the ethical conduct;
- b. The mandated unit has to decide (i) whether the complaint has reasonable basis for identifying the violation, (ii) whether the facts featuring the alleged violation constitute a breach of ethical conduct of the academic staff;
- c. Parties to the case should be notified in writing in accordance with the University relevant policy highlighting procedures for timely notifications.

8.4.1 Sanctions for Non-compliance could be:

- (i) warning;
- (ii) and dismissal;

8.4.2. Appeal

Academic staff has the right to appeal the decision of the mandated unit on the determination of the disciplinary measure.

- a. Appeal must be made to the University body as prescribed than the mandated unit and it must be within time-bound period after the notification of determination;
- b. Appeal must be in writing and state the grounds for appeal;

- c. No further appeal can be available within the University.

9. Model Code of Ethics for Students

This part provides a framework for a model code of practice for ethical conduct by students of the University. The ethics in this model code should be reflected in the internal statutes, rules and procedures of the University.

9.1 Principles

Students admitted at Lusaka Goldsmiths University shall be expected to conduct themselves in accordance with the following general principles underlined in this code the principles shall apply to their relations with (i) the governing body, management, academic and support staff and other organs of the institution, (ii) other students. In addition, persons who seek to be admitted to study are entitled to expect that the management and staff of the University shall act fairly in the admissions procedure according to the laws of the country and the admissions policy of the University. The standard of ethical behaviour expected of students shall also be expected of any persons acting on their behalf, including parents and persons with similar status.

9.2 Model Code

In pursuance of the general principles of ethical conduct, the University shall adopt and publish rules governing (i) conduct including discipline, academic integrity and sanctions; (ii) admissions, study programmes, examinations and assessment; (iii) complaints procedures.

As a minimum, these rules should expressly incorporate the ethical principles and provide sanctions for non-compliance in accordance with the law.

9.3 General Rights and Responsibilities of Students

9.3.1 Students of the University shall have the right to:

- a. be free from discrimination based on race, religion, ethnicity, political affiliation, age, sex, disability or any other matter of personal preference according to the laws of the country;
- b. have freedom of expression, freedom of assembly and association, with a condition that these freedoms do not hinder the effective conduct of classes, comply with the policies of the University and other principles of ethical behaviour such as respect for the rights of others,
- c. fair evaluation and the right to be properly informed about the grading criteria in accordance with the University's relevant policies;

- d. appeal in accordance with the University's appeal policies;
- e. be free from harassment by any member of the University community;
- f. be heard in case when a decision is to be taken against him/her;
- g. be notified on a timely manner on disciplinary proceedings or actions;
- h. report any alleged non-compliance with the legislation in force or the ethical principles to the relevant authority in confidence without adverse personal consequences.

9.3.2 Students of the University shall have the following responsibilities:

- a. become familiar with the provisions of this Code and all the other policies of the University;
- b. not to offer or accept any bribe or other unlawful financial consideration, or seek or accept any other personal favour, which may influence them in their studies, or influence others in their work;
- c. to immediately report any attempt to seek bribes or personal favours to the relevant authority defined in the rules of the University;
- d. not to misuse the resources of the University, or personal or commercial information held by it, including intellectual property, for personal gain or that of any other person or group;
- e. to behave towards the governing board, managers, academic and support staff and fellow students in a respectful way, upholding the general principles of ethical conduct, and contribute positively and constructively to the academic work of the institution;
- f. not to engage in plagiarism as defined in the rules of the University, fail to cite or attribute the work of others, pass off others' work as their own work, or falsify results, and must abide by ethical principles in relation to protection of personal data, and other specific principles in defined subject areas according to the rules of the University;
- g. not to cheat, copy others' work, either individually or as part of a group, or attempt to gain any advantage by offering any form of inducement, or knowingly permitting any other person to offer any form of inducement on their behalf.

9.4 Disciplinary Measures and Sanctions

Disciplinary measures should be based on the principles of fairness, confidentiality, and timely notice. Violations of the Code and other rules of the University may result in the following disciplinary measures:

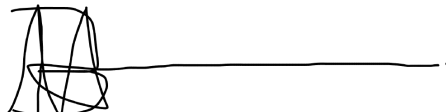
- a. Oral warning to the student, depending on the severity of the violation;
- b. Warning of the violation in writing;
- c. Reduction of the academic grade, depending on the severity of the violation;
- d. Failure of the course;
- e. suspension or expulsion of a student from the University.

The rights for taking disciplinary measures vary depending on the measure: course related issues (measures a. through d.) might be imposed by academic staff, while suspension and expulsion shall be imposed by the University management staff according to the University regulations.

9.4.1 Appeal

Students have the right to appeal the decision of the mandated unit on the determination of the disciplinary measure. When disciplinary measures are in writing, the student appeal should be in writing.

When filing an appeal Students shall refer to the University's appeal policy.



Vice Chancellor/Principal

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