

INSTITUTIONAL PLANNING

EAP Form 1.10 (Rev. 11/18)



STATE OF WISCONSIN
EDUCATIONAL APPROVAL PROGRAM
P.O. Box 8366
MADISON, WISCONSIN 53708-8366
(608) 266-1996

The Educational Approval Program (EAP) is a postsecondary education agency that employs a regulatory model focused not only on compliance, but also institutional effectiveness. To facilitate an environment in which schools seek to be effective organizations that improve over time, the EAP requires schools to submit evidence that appropriate planning has been conducted. Although similar to a strategic or business plan, this information will enable the EAP and school officials to engage in a dialogue over time about the effectiveness and future of the school.

Schools that already have some type of strategic or business plan (e.g., schools that have either a corporate or accreditation plan) must adapt these documents to the following requirements and focus on Wisconsin operations and students. The EAP does not expect any school to divulge any sensitive, proprietary business information. The information must address the five elements identified below and provide the information requested.

I. SCHOOL INFORMATION

Name of School:

University of Southern California

II. PLANNING ELEMENTS

A. MISSION. Describe your school's mission and vision, which identifies its purpose and its core values.

Please see Attachment 1: USC Mission Statement

B. MARKET. Discuss the nature of your school and the business in which it is engaged. Describe who your existing and/or potential customers are and what motivates them to enroll in your school. Explain how you let these customers know you are in business. Finally, identify who your competitors are and how you are different from them.

Please see Attachment 2: Market

C. MANAGEMENT. Describe your management team and how it functions to lead, administer and position the school. If your school has advisory boards, describe how the school uses them for program and school improvement.

USC is governed by a Board of Trustees and led by the USC President and her senior administration and USC School Deans. Our deans are an integral part of the USC programs and school improvement as they constantly strive to uphold the university's mission of fostering outstanding educational excellence and collaboration between faculty, staff and students.

Please see the management links below:

USC Board of Trustees: <https://boardoftrustees.usc.edu>

USC Office of the President: <https://www.president.usc.edu>

USC Senior Administration: <https://www.usc.edu/we-are-usc/the-university/leadership/senior-administration/>

USC Academic Deans: <https://www.usc.edu/we-are-usc/the-university/leadership/academic-deans/>

D. SWOT ANALYSIS. Identify your school's strengths, weaknesses, opportunities and threats (SWOT). Based on the results of this SWOT analysis, provide the following:

- 3 to 5 goals for strengths/weaknesses and how they will be addressed by your school.
- 3 to 5 goals for opportunities/threats and how they will be addressed by your school.

The goals should have specific objectives, defined results, a timeline for completion and metrics (some type of evaluation or measurement) by which the institution can evaluate/measure their success. In developing its goals, the school may wish to refer to the Elements of Effective Institutions graphic that is included on the back page of this form.

USC is a large R1 institution. For the 2023-2024 academic year, we had a total student population of 47,000 students including a sizeable online student population. USC has 24 unique schools and over 128 different majors with 800 different degrees and certificates.

Due to the diversity of our programs ranging from bachelors degrees to doctoral degrees, we do not have a single SWOT analysis to report. However, we have identified our core beliefs and unifying values in the attached USC Integrity and Accountability Code document which outlines our missions, values and commitment to excellence.

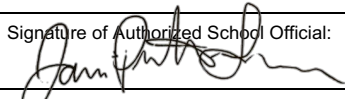
D. SWOT ANALYSIS *(continued)*

E. FUTURE VISION. Describe your school 5 years from now. What will it look like and how will it be positioned in the marketplace.
Please refer to Attachment 3: Future Vision.

III. SUBMISSION

I hereby certify that the information contained on this form and any attachments to the form is true and correct to the best of my knowledge.

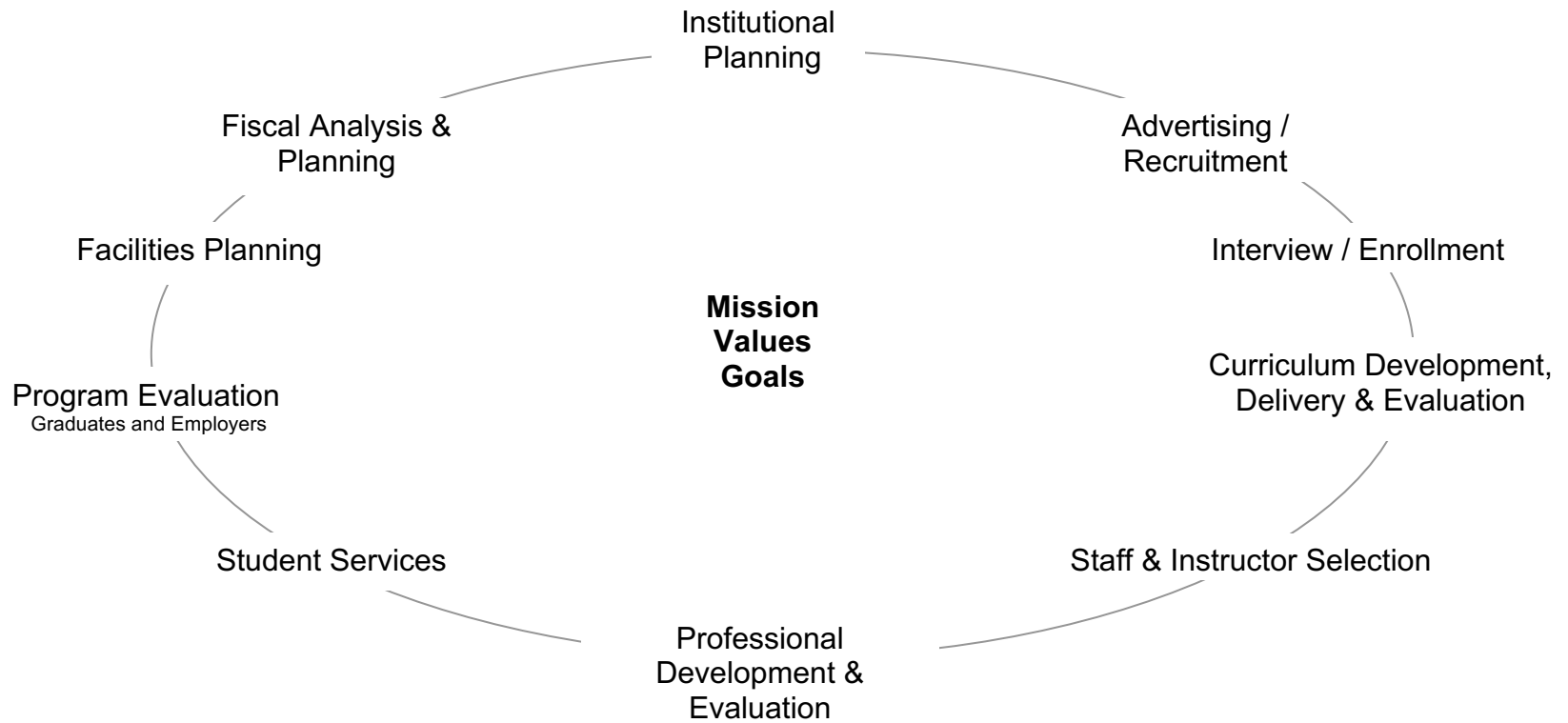
Signature of Authorized School Official:



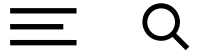
Print or Type Name and Title of Authorized School Official:
Jamie Putorti-Sandheinrich, USC State Authorizations Manager

Date:
9/11/2024

INSTITUTIONAL SYSTEMS



Mission Statement



The Role and Mission of USC

The central mission of the University of Southern California is the development of human beings and society as a whole through the cultivation and enrichment of the human mind and spirit. The principal means by which our mission is accomplished are teaching, research, artistic creation, professional practice and selected forms of public service.

Our first priority as faculty and staff is the education of our students, from freshmen to postdoctorals, through a broad array of academic, professional, extracurricular and athletic programs of the first

rank. The integration of liberal and professional learning is one of USC's special strengths. We strive constantly for excellence in teaching knowledge and skills to our students, while at the same time helping them to acquire wisdom and insight, love of truth and beauty, moral discernment, understanding of self, and respect and appreciation for others.

Research of the highest quality by our faculty and students is fundamental to our mission. USC is one of a very small number of premier academic institutions in which research and teaching are inextricably intertwined, and on which the nation depends for a steady stream of new knowledge, art, and technology. Our faculty are not simply teachers of the works of others, but active contributors to what is taught, thought and practiced throughout the world.

USC is pluralistic, welcoming outstanding men and women of every race, creed and background. We are a global institution in a global center, attracting more international students over the years than any other American university. And we are private, unfettered by political control, strongly committed to academic freedom, and proud of our entrepreneurial heritage.

An extraordinary closeness and willingness to help one another are evident among USC students, alumni, faculty, and staff; indeed, for those within its compass the Trojan Family is a genuinely supportive community. Alumni, trustees, volunteers and friends of USC are essential to this family tradition, providing generous financial support, participating in university governance, and assisting students at every turn.

In our surrounding neighborhoods and around the globe, USC provides public leadership and public service in such diverse fields as health care, economic development, social welfare, scientific research, public policy and the arts. We also serve the public interest by being the largest private employer in the city of Los Angeles, as well as the city's largest export industry in the private sector.

USC has played a major role in the development of Southern California for more than a century, and plays an increasingly important role in the development of the nation and the world. We expect to continue to play these roles for many centuries to come. Thus our planning, commitments and fiscal policies are directed toward building quality and excellence in the long term.

Adopted by the USC Board of Trustees, February 1993

Attachment 2: Market

The University of Southern California is one of the world's leading private research universities. USC's diverse curricular offerings provide extensive opportunities for interdisciplinary study and collaboration with leading researchers in highly advanced learning environments. In a comprehensive 2024 ranking, The Wall Street Journal and Times Higher Education ranked USC 28th for best national universities. Ten of our online programs made a top 10 ranking as well. Schools in this category offer a full range of undergraduate majors, plus master's and doctoral programs. These colleges also are committed to producing groundbreaking research.

Started in 1880, USC for the academic year 2023-2024 is home to almost 50,000 students. Our programs range from a large selection of bachelors degrees, master degrees, professional degrees and doctoral degrees. The vast majority of our students are attending classes on the USC/USC Health Sciences campus.

In order to provide a quality education to students that might not be able to attend in Los Angeles, USC now provides a selection of online programs.

USC's competitors include Stanford University and the University of California Los Angeles. While there are many similarities, USC prides itself on its long history as a private university serving the needs of the Los Angeles area. USC is not only in the city of Los Angeles but is a vital part of the city being the sponsor of numerous outreach and volunteer programs.

Attachment 3: Future Vision

Exerts from the USC Strategic plan provide the blueprint for our future direction:

Reimagining a University Education

In the coming years, USC will lead the national discussion on the value of the liberal arts and how best to connect them to the challenges of the 21st century. We will infuse crucial literacies – informational, numerical, visual, and digital, among others – across our curriculum. We will establish programs in the arts and the humanities that bring together scholars and practitioners in ways that embrace the mindsets of inclusion, convergence, and entrepreneurship, engage Los Angeles, and broaden the career opportunities traditional to those disciplines, and we will continue to evolve our General Education program to incorporate concepts of entrepreneurship, inclusion, convergence, and impact. We will launch interschool, inter-professional programs. We will continue to invent and deploy new technologies in the classroom and online. We will reaffirm the importance of teaching and mentorship in the context of a research university and we will put into place the systems necessary to train, assess, and reward exceptional teaching.

Reimagining Access and Opportunity

In the coming years, we will leverage our expertise in supporting diversity and undergraduate college access to ease the path to postgraduate studies, and to postdoctoral, residency, and fellowship programs. We will invest in programs that recruit and sustain senior underrepresented faculty leaders and cohorts of underrepresented junior faculty, and invest in current underrepresented senior faculty. We will prioritize identifying resources that will allow us to expand our NAI program, increase the number of scholarships to attract distinct voices to USC, and help us provide experiential parity for all USC students, so that financial considerations never limit a student's ability to enjoy a rich college experience. We will create training programs and boot camps that help diversify the student body in particular areas, especially the STEM fields. And we will use online technologies to reach unique populations of postgraduate learners, enrich lifelong learning for our Trojan Family and others, and respond to urgent workforce needs.

Reimagining Value

In the coming years, we will redouble our efforts to secure scholarships for students at all levels: undergraduate, graduate, and professional. We will expand efforts to increase the four-year undergraduate graduation rate. We will undertake comprehensive and recurring evaluation of our operations, in order to find efficiencies that improve performance and reduce costs. We will establish curricular options for undergraduate students that will broaden their postbaccalaureate educational choices. We will implement new internship programs and expand career services support. We will invest in programs to improve student health and wellness, and to support disability services. And, we will better leverage our Trojan networks to support current and future students.

Reimagining the Undergraduate Experience

And now, with the completion of the \$700 million USC Village project, we are presented with a historic opportunity to transform the undergraduate experience. The opening of USC Village allows USC to commit fully to a residential college experience for undergraduates. Spearheaded by the founding of our new Kathleen L. McCarthy Honors College, our residential colleges will be the nest from which our students fledge, spread their wings, and launch into the world. Led by residential faculty, a cadre of faculty fellows, and Student Affairs, we will pursue four objectives: cultivating the life of the mind, the life of the body, and a life of service, and fostering a sense of belonging. We will provide countless opportunities for screenings, recitals, speakers, performances, symposia, new courses, exhibitions, panels, and more. We will serve as gateways to explore the cultural and arts landscape of Los Angeles, not as tourists, but as young citizens eager to learn, contribute to, and serve society. And, most importantly, we will use the residential colleges as the training ground for the ideals put forth in this strategic plan: developing ethical human beings imbued with entrepreneurial, inclusive, and convergent spirits, ready to impact the world, and fully prepared to engage the challenges and opportunities life brings through their USC experience.

USC Cultural Journey

The USC Culture Journey is a university-wide initiative to explore our values, align the supportive behaviors that bring those values to life, and develop opportunities to improve our systems and processes. Together, we are shaping our culture.

Since October 2019, over 24,000 Trojan – faculty, staff, students, governing bodies, Deans, and unit leaders have shared their voices and provided feedback on our unifying values, aligned behaviors, and actions to be taken to enhance our culture.

USC has published a website: <https://culturejourney.usc.edu> with information regarding our journey.



USC University of Southern California



**INTEGRITY AND ACCOUNTABILITY CODE
AT OUR BEST A SHARED COMMITMENT**

enter here





USC Mission

The central mission of the University of Southern California is the development of human beings and society as a whole through the cultivation and enrichment of the human mind and spirit.

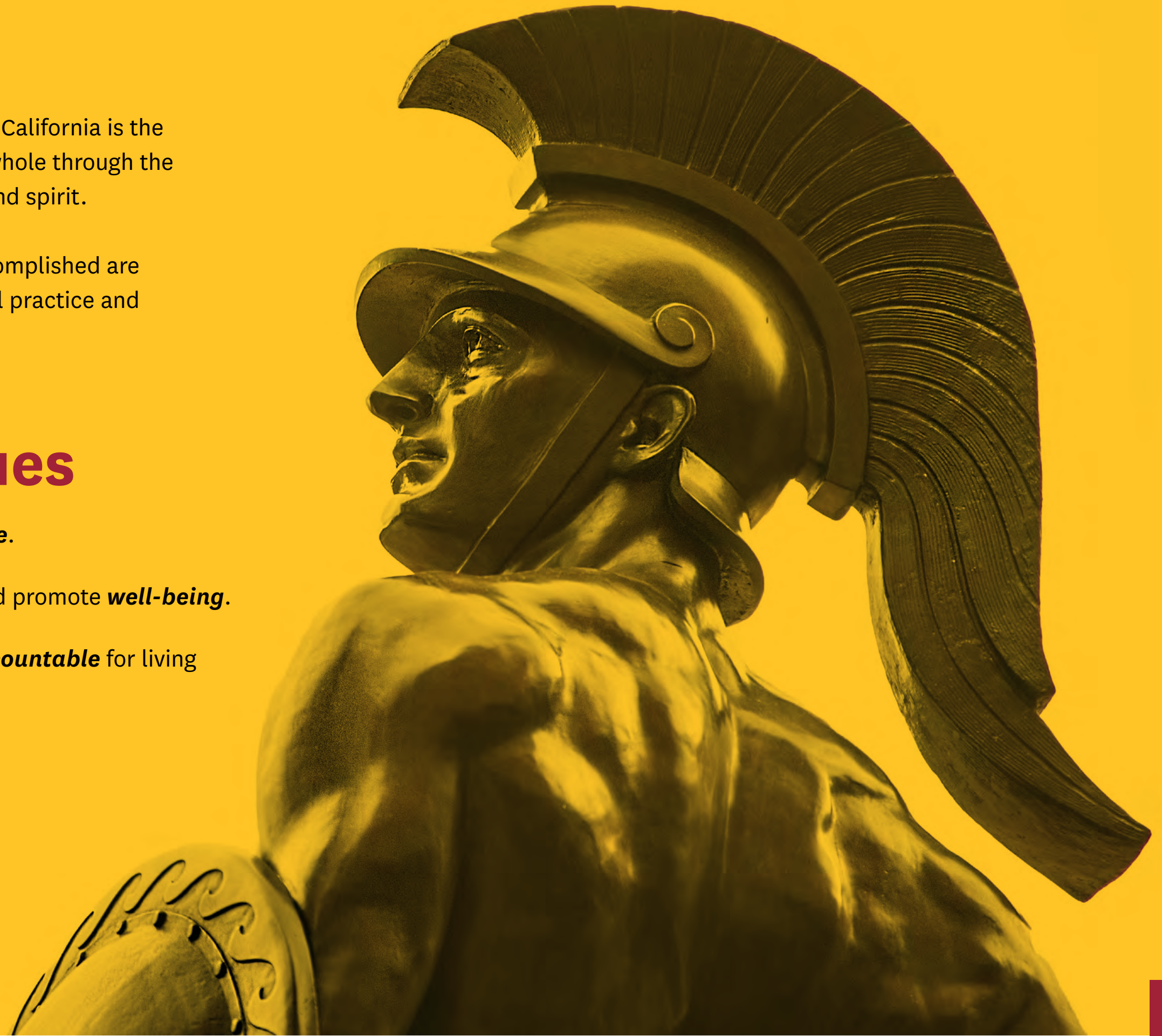
The principal means by which our mission is accomplished are teaching, research, artistic creation, professional practice and selected forms of public service.

USC Unifying Values

We act with ***integrity*** in the pursuit of ***excellence***.

We embrace ***diversity, equity and inclusion*** and promote ***well-being***.

We engage in ***open communication*** and are ***accountable*** for living our Values.





At Our Best: A Shared Commitment A Message from Dr. Folt

Dear Trojan Community,

USC has come a long way in its 143-year journey. Over time—and through much learning, growth, and evolution—we have become a top choice destination for exceptional students, inspirational faculty, remarkable healthcare providers and innovative researchers from around the world. In addition, we are a beloved and respected anchor institution here in the great city of Los Angeles.

As such, we take our obligation to uphold USC’s mission and values very seriously. As employees of this institution, we owe it to everyone in our community and to the public at large to conduct ourselves in ways that are ethical, equitable, and in line with all applicable laws and regulations.

Our Integrity and Accountability Code summarizes these obligations, holds us to a high standard of ethical conduct, and supports us in being the best we can be, individually and collectively. It is also a resource designed to guide you in making decisions that are aligned with our six unifying values, which were collaboratively defined by the Trojan community.

These values are brought to life daily through our behaviors, decisions, actions, and interactions with one another. I am regularly inspired by the talent and character of our workforce. The years ahead promise to bring even more rapid change and the need for creative, purpose-driven innovation is greater than ever. We will be on the forefront of what’s next—always with an emphasis on setting and meeting high ethical standards, sustaining our shared environment, and creating positive social impact. Our journey continues.

Thank you for doing your part to strengthen our culture through your commitment to do the right thing each day. I appreciate that you are part of the Trojan family and hope you find this resource helpful and relevant to the highly valued work you do here at USC.

Sincerely,
Carol L. Folt
President





Table of Contents

USC Mission and Unifying Values

At Our Best: A Shared Commitment, A Message from President Folt

INTEGRITY We do the right thing

- Our Culture — Promoting Our Mission and Living Our Values 6
- Our Code — Setting Expectations and Guiding Our Decisions and Actions 6
- Our Responsibilities — Meeting Our Shared Obligations 6
- Our Voice — Asking Questions and Sharing Concerns 7
- Research and Scholarly Integrity 9

EXCELLENCE We bring our best selves

- Striving to Better Ourselves, USC and Society 11
- Being Deliberate and Thoughtful in Our Choices and Actions 12
- Avoiding Conflicts of Interest 13

DIVERSITY, EQUITY AND INCLUSION We all belong

- Building a Welcoming Community 15
- Promoting Equity and Inclusion 16

WELL-BEING We honor the whole person

- Caring for One Another 18
- Working for a Sustainable Future 19
- Participating in Political Activities 20

OPEN COMMUNICATION We share openly and honestly

- Creating an Environment for Open and Honest Dialogue 22
- Freedom of Expression 22
- Representing USC 23

ACCOUNTABILITY We take responsibility

- Being Accountable 25
- Using University Resources 26
- Ensuring the Integrity and Accuracy of Our Records 27
- Meeting Our Healthcare Obligations 28

Helpful Resources

Living Our Values, A Message from Provost Guzman and Dr. Shapiro





Integrity

WE DO THE RIGHT THING

Our words, decisions and actions align with and are guided by our values, honesty and ethical principles.

In This Section:

Our Culture

Promoting Our Mission and Living Our Values

Our Code

Setting Expectations and Guiding Our Decisions and Actions

Our Responsibilities

Meeting Our Shared Obligations

Our Voice

Asking Questions and Sharing Concerns

Research and Scholarly Integrity



Our Culture — Promoting Our Mission and Living Our Values

At USC, our culture is defined first and foremost by what we do — ***we serve our students, patients and communities, through enrichment of mind, body and spirit, in the pursuit of excellence.***

How we achieve our mission is equally important and also defines our culture — ***we act with integrity in the pursuit of excellence, we embrace diversity, equity and inclusion and promote well-being, and we engage in open communication and are accountable for living our values.***

When we ***keep our promises and are open and honest***, we earn and sustain trust from each other, our students, our alumni and our partners.

At Our Best — A Shared Commitment — Integrity and Accountability (our “Code”) is intended to help us ***honor*** and ***shape*** our culture, put our Unifying Values into practice and build a stronger USC.

Our Code — Setting Expectations and Guiding Our Decisions and Actions

Our Code sets expectations and serves as a guide to both everyday situations and significant strategic choices. It also summarizes key policies and regulations that all Trojans must follow.

The Code does not address every possible situation, nor does it summarize every policy and regulation we must follow. Throughout the Code, links are provided to relevant USC resources that offer more detailed information. If you do not find the information you are looking for, talk to your supervisor, department chair or dean, or contact the Office of Culture, Ethics and Compliance at compliance@usc.edu.



WHO MUST FOLLOW OUR CODE?

As Trojans, we all must follow our Code as well as related policies and procedures. We also expect anyone acting on our behalf to conduct themselves in a manner consistent with our Code.

Our Responsibilities — Meeting Our Shared Obligations

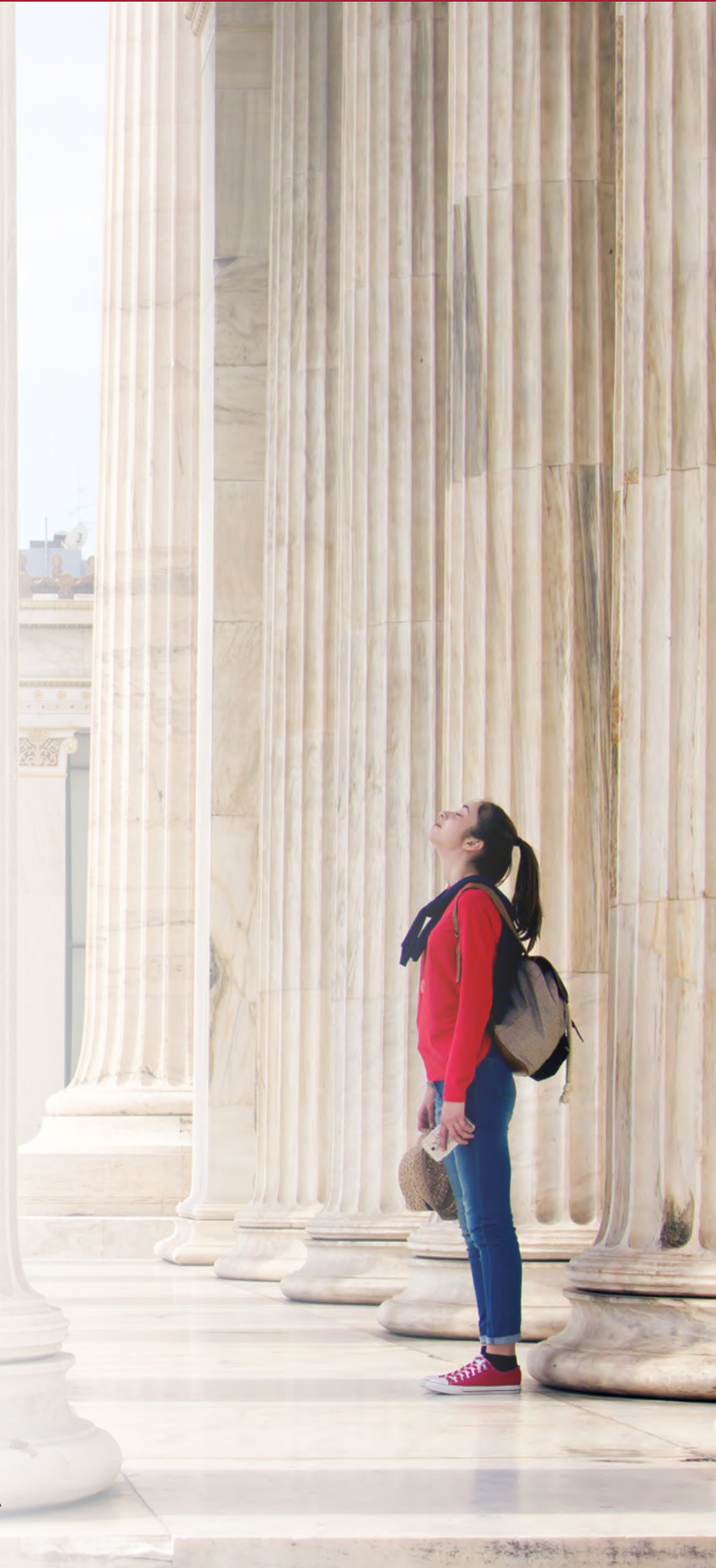
No matter what our roles or responsibilities may be, we all have a commitment to support and advance our mission. This includes:

- *Being proactive and aligning our actions to our mission, vision, Unifying Values, this Code and our policies.*
- *Respecting others.*
- *Empowering each other, speaking up and taking action for what is ethical, and seeking advice when we have questions.*
- *Upholding the highest standards of ethical behavior and not allowing short-term objectives to supersede our values or jeopardize our long-term success.*
- *Taking responsibility for our actions and decisions.*
- *Showing empathy, welcoming differences in opinions, actively listening and addressing concerns.*



TO LEARN MORE

If you have any questions or concerns about our responsibilities, contact the Office of Culture, Ethics and Compliance at compliance@usc.edu.





Our Voice — Asking Questions and Sharing Concerns

Our value of Accountability means that we set clear expectations and take responsibility for our actions, decisions, outcomes and consequences. Trojans do not look the other way when violations of our Code, values, policies or the law are taking place. We address concerns and speak up for what is ethical, even when it is difficult to do so. We speak up when we see conduct that does not align with our Unifying Values in order to promote a culture where we can all thrive.

To help meet these responsibilities, USC has created resources to enable faculty and staff to ask questions, voice concerns and raise potential policy violations.

If you see or are concerned about conduct that may not align with our values, our Code, our policies or the law, raise your concerns directly with a fellow USC Trojan, if you feel comfortable doing so, and if it is appropriate. You can also contact, and in certain circumstances may be obligated to contact, any of the following:

- Your supervisor, department chair or dean
- Any other member of the USC leadership team or a Human Resources partner
- The Office of Culture, Ethics and Compliance
- The Office of Professionalism and Ethics
- The Office for Equity, Equal Opportunity, and Title IX (EEO-TIX)

- USC Report & Response
- The Office of Healthcare Compliance
- The Keck Medicine Safety and Risk Management (SRM) reporting systems



HOW TO REPORT A CONCERN

USC Report & Response

Your front door to reporting concerns and getting the support you need.

Report online at report.usc.edu

Report by phone

213-740-2500

800-348-7454 (toll-free)

This number is staffed by live operators 24 hours a day, 7 days a week.

When you report through Report & Response, you may choose to remain anonymous where allowed by local law. All reports will be treated equally whether they are submitted anonymously or not. Reports made anonymously may limit the university's ability to fully investigate the concern.

You also have the option of calling the California Attorney General's Hotline, **(800) 952-5225**.

RETALIATION IS NOT TOLERATED

Retaliation is an adverse action taken against someone because they participated in a protected activity. There are many different forms of retaliation including unwarranted discipline or termination, threats or abuse, unfavorable changes to working conditions, being excluded from workplace events and being shunned by co-workers. USC will not tolerate retaliation against anyone who, in good faith, makes a report, cooperates with an investigation or otherwise engages in protected activity.



REPORTING IN "GOOD FAITH"

Making a report in "good faith" means that you report truthfully and honestly about the facts and information that led to your concern, regardless of whether the investigation of your report uncovers any actual misconduct. Anyone making a knowingly untruthful report may be subject to possible disciplinary consequences.





Our Voice — Asking Questions and Sharing Concerns



LIVING OUR VALUES

I often interact with faculty and staff on issues that touch on many of USC’s policies. In some cases, individuals have differing opinions on how we should conduct ourselves or expect others to behave. What should I do to address such input?

As Trojans, we come from diverse backgrounds and have differing opinions and perspectives. Our values unify us all and can be used as a lens through which to assess challenging questions or decisions. While specific concerns must be addressed, often there are situations where it is best to have a discussion with your colleagues and then engage the right departments to help resolve your concerns. Seeking to understand each other’s perspectives is often the first and most valuable step in charting the path forward.

A while ago, I reported gender bias in my unit. Now my manager has changed my shift, and I think the change may be retaliation for making the report. Is it retaliation? Should I have made the report? What should I do?

Raising concerns of gender bias in the workplace is a protected activity under the university’s Policy on Prohibited Discrimination, Harassment and Retaliation, and employees are encouraged to report workplace discrimination, such as gender bias. You have several options. If you feel comfortable doing so, you might ask your manager for an explanation about the shift change. There may be reasons why the change was necessary that have nothing to do with your report. However, if you are uncomfortable discussing the matter with your manager or HR partner, you are not satisfied with the explanation, or you still believe retaliation occurred, contact the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) at eeotix@usc.edu to discuss your concerns and to learn about the availability of supportive measures and resolution options. Retaliation for reporting or participating in an investigation related to sexual misconduct or discrimination or harassment based on a protected class (e.g., race, sex) is prohibited and should be reported to EEO-TIX.



TO LEARN MORE

If you have any questions about raising issues, sharing concerns or retaliation, contact the Office of Professionalism and Ethics at ope@usc.edu.

[Policy on Prohibited Discrimination, Harassment and Retaliation](#)

[Investigation of Non-Protected Class Conduct in Violation of University Policy](#)

[USC Report & Response](#)

[Office of Culture, Ethics and Compliance website](#)

[The University’s Ombuds Office website](#)

[The Office of Professionalism and Ethics website](#)

[Office for Equity, Equal Opportunity, and Title IX \(EEO-TIX\) website](#)





Research and Scholarly Integrity

To protect our reputation and promote our mission, every Trojan must do their part and act with integrity in our research activities.

This includes:

- Your supervisor, department chair or dean
- Any other member of the USC leadership team or a Human Resources partner
- The Office of Culture, Ethics and Compliance
- The Office of Professionalism and Ethics
- The Office for Equity, Equal Opportunity, and Title IX (EEO-TIX)
- USC Report & Response
- Working to support an environment that respects rigorous standards for learning, creating, teaching and research.
- Making sure that all documentation and published findings are accurate, complete and unbiased.
- Following all relevant protocols, especially if your research activities involve human or animal subjects.
- Disclosing any potential conflicts of interest that could influence or appear to influence your objectivity or the validity of research results, including all support from industry.
- Never tolerating acts of plagiarism, falsification or fabrication of data, or other forms of academic and research and scholarly misconduct.

- *Complying with all requirements, terms and conditions of grant awards and contracts.*
- *Understanding and following all copyright laws and the Fair Use Doctrine.*
- *Whenever research results have the potential for commercialization, taking appropriate steps and protecting the inventors' and the university's intellectual property and ownership interests themselves in a manner consistent with our Code.*



LIVING OUR VALUES

I realized I made a mistake in recording data for a research project. The data has not yet been finalized but correcting the mistake at this juncture could significantly delay the project. What should I do now?

Making a mistake is not misconduct but making a mistake and not taking steps to correct it would be. Our reputation for maintaining the highest standards of research and scholarly integrity depends on each one of us doing the right thing, even if it delays a project. If you become aware of a mistake, correct the data and notify the study's principal investigator. You should also take a moment to consider why the mistake was made in the first place. What can you, your research team and USC learn from the incident?



TO LEARN MORE

If you have any questions about research integrity, you may contact the Office of Research Integrity, Department of Grants and Contracts, or the Office of Research and Innovation.

[Research and Scholarship Misconduct Policy](#)

[Institutional Conflict of Interest in Research](#)

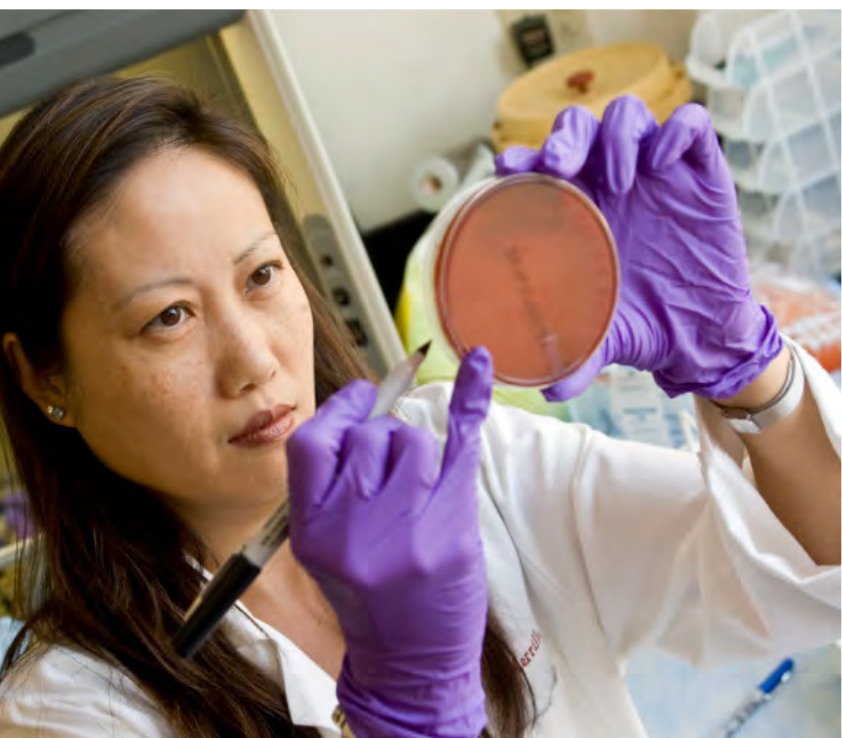
[The Office of Research Integrity](#)

[The Office of Research and Innovation](#)

[USC Department of Contracts and Grants](#)

[Faculty Handbook](#)





Excellence

WE BRING OUR BEST SELVES

We strive to better ourselves as a learning community, institution and society through assessment, reflection, learning, innovation, research and collaboration.

In This Section:

Striving to Better Ourselves, USC and Society
Being Deliberate and Thoughtful in Our
Choices and Actions

Avoiding Conflicts of Interest

Striving to Better Ourselves, USC and Society

As a premier academic institution, we strive for excellence in serving our students, our patients and our communities.

As Trojans, we are active leaders in what is taught, thought, created and practiced locally and globally. We confront the status quo and learn from our successes and our challenges.



AT OUR BEST — A SHARED COMMITMENT

- *Achieve excellence through collaboration and continuous improvement and by acting with integrity.*
- *Embrace innovation in the pursuit of our vision and mission.*
- *Seek continuous feedback and learn from our mistakes.*
- *Promote inclusive ways to contribute and share knowledge, resources and relationships.*

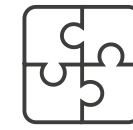


Being Deliberate and Thoughtful in Our Choices and Actions

Our mission includes the pursuit of excellence in academics, teaching, research, artistic creation, athletics, professional practice, medical care and public service.

Excellence is best achieved when our choices and actions are deliberate and thoughtful, aligned with our values and made in collaboration with our colleagues.

Making the right decision is not always easy. There may be times when we feel pressured or unsure of what to do. It's important to remember that there are resources available to help and that we are all part of the broader USC community.



AT OUR BEST — A SHARED COMMITMENT

- *Be willing to address difficult problems.*
- *Be open and clear about your assumptions and your decision-making process.*
- *When making a decision, involve others who will be affected by the outcome whenever possible.*
- *Seek input from a broad range of diverse perspectives.*

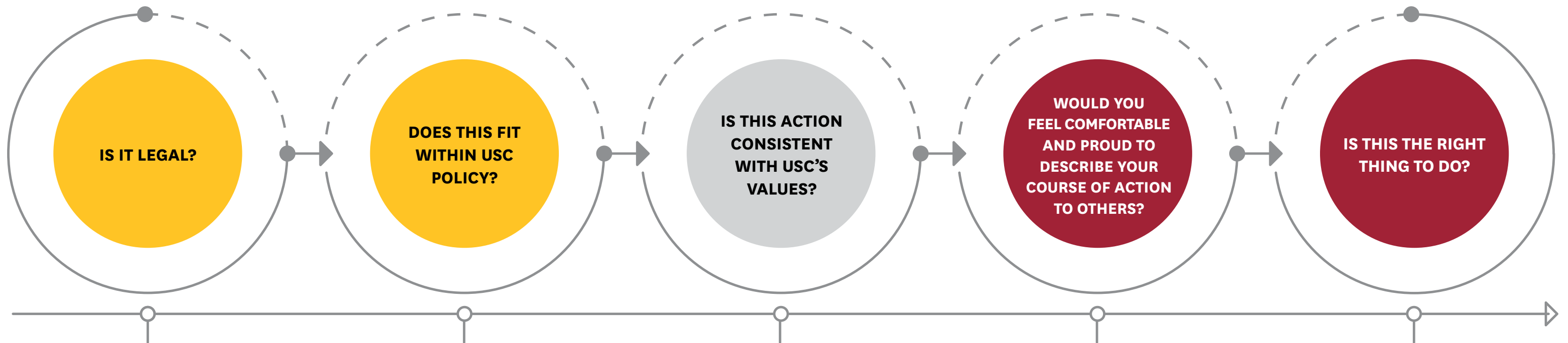


TO LEARN MORE

If you have any questions about raising issues, sharing concerns or retaliation, contact the Office of Professionalism and Ethics at ope@usc.edu.

[Office of Culture, Ethics and Compliance website](#)

It is impossible to address every ethical dilemma. When unsure, ask yourself:



IF YOU ANSWERED "YES" TO ALL OF THESE QUESTIONS, IT IS PROBABLY OK TO PROCEED. BUT IF YOU ANSWERED "NO" OR "I'M NOT SURE" TO ANY QUESTION, STOP AND SEEK GUIDANCE BEFORE PROCEEDING.

Avoiding Conflicts of Interest

A conflict of interest may occur whenever a competing interest interferes with our ability to make an objective decision on behalf of USC. Every Trojan is expected to use good judgment and avoid situations that can lead to even the appearance of a conflict, which can undermine the trust others place in us and damage our reputation.



AT OUR BEST — A SHARED COMMITMENT

- Avoid conflict of interest situations whenever possible. If a situation cannot be avoided, disclose it and discuss it with your manager.
- Be alert to situations, including the following, which are common examples of potential conflicts of interest:
 - **Outside employment and consulting** — You have an outside job or a consulting engagement, or you serve as a director, have a management role or have an ownership interest at another organization.
 - **Business opportunities** — You learn about a business opportunity because of your position at USC and take it for yourself without seeking appropriate approval.
 - **Family members** — You have a family member who reports to you or who works for one of our suppliers that you manage.

- **Advancement and alumni relations** — You work in a department that makes decisions related to the review, evaluation, award or distribution of scholarships or other institutional awards, and you have a relationship with alumni or their family that may be affected by such a decision.
- Disclose all conflicts. Conflicts may be actual, potential or even just a matter of perception. Since these situations are not always clear-cut, if you are engaged in or are considering activities that may create a conflict or the appearance of a conflict, disclose the situation to your manager and use the USC system for conflict disclosure, [diSClose](#). Once disclosed, the conflict can be properly evaluated, eliminated or managed.



LIVING OUR VALUES

I work in the Business Office. I recently received a package from a supplier that contained an expensive gift. We have already signed a contract with the supplier, so my colleague thinks it's fine to accept the gift, but I'm not sure.

You are right to be concerned. Although your decision to hire the supplier may not be affected by the gift, the gift may be perceived as excessive and create the appearance of a conflict of interest. Without full disclosure and approval, you should politely refuse the supplier's gift. Business courtesies of a nominal value that do not create an actual or perceived conflict of interest are generally acceptable.



GIFTS AND ENTERTAINMENT

It is never acceptable to offer personal gifts to, or receive personal gifts from, suppliers, potential suppliers, donors or prospective donors if those gifts could be perceived as influencing university business, are in excess of a typical business gratuity or could otherwise be perceived as improper.

No gifts or other benefits, including entertainment, can be offered to any government officials, without prior approval from University Relations. If you receive a request from a government official for a payment, other than legitimate taxes or fees, immediately report the matter to University Relations.

And remember, giving or receiving bribes is always illegal and a serious violation of our policies. A bribe may consist of the offer or promise to pay anything of value for the purpose of influencing any act or decision or securing an improper advantage.



TO LEARN MORE

If you have any questions or concerns about conflicts of interest or gifts and entertainment, contact the Office of Culture, Ethics and Compliance at compliance@usc.edu.

[Conflict of Interest in Professional and Business Practices Policy](#)

[Institutional Conflict of Interest in Research](#)

[Relationships with Industry Policy](#)

[USC's conflict disclosure system, diSClose](#)

[Gifts and Hospitality Policy](#)

[Office of Culture, Ethics and Compliance website](#)

[Office of Healthcare Compliance website](#)



Diversity, Equity and Inclusion

WE ALL BELONG

We challenge our community to engage differences as strengths, embrace the richness of our lived experiences and leverage diversity, equity and inclusion to drive excellence in support of a welcoming community where all can thrive and where discrimination is not tolerated.

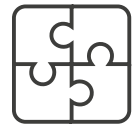
In This Section:

Building a Welcoming Community
Promoting Equity and Inclusion

Building a Welcoming Community

Each of us has a responsibility to help build and sustain a welcoming community where everyone is valued and all can thrive.

Our commitment to the development of human beings and society requires fostering a community in which we solicit, embrace and share diverse viewpoints. Building a generation of visionaries, innovators and creators requires expanding access and opportunity — embracing diversity in every sense of the word. We practice inclusion by honoring and including diverse voices and ensuring fair policies, procedures and practices to support equity.



AT OUR BEST — A SHARED COMMITMENT

- Take responsibility — be proactive. Recognize that diversity, equity and inclusion are shared responsibilities and take action to help create an environment where all voices can be heard.
- Value different experiences, cultures, perspectives and identities.
- Share openly and honestly — be open to the views of others, speak up and lead by example.
- Be thoughtful and deliberate to ensure that explicit and implicit biases are not influencing your decisions or creating barriers to inclusion.



LIVING OUR VALUES

During meetings, my supervisor refers to current social and political issues, asks me how I'm doing and makes a point of noting that the team is sensitive to how I must feel. I understand this may be an attempt to show empathy and support, but it makes me uncomfortable. What should I do?

Singling you out may create assumptions about your lived experience and political viewpoint. You can seek assistance from your HR partner or contact the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) to discuss your concerns and receive supportive resources, as perceived political belief or affiliation is a protected characteristic under university policy. If you feel comfortable doing so, let your supervisor know that while you appreciate the concern, you will speak up if you need support or assistance.



TO LEARN MORE

If you have any questions or concerns about discrimination, harassment and retaliation based on a protected characteristic, we encourage you to contact the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) at eeotix@usc.edu.

[Office for Equity, Equal Opportunity, and Title IX \(EEO-TIX\) website](#)

During meetings, a co-worker makes jokes and derogatory comments about certain nationalities. The jokes make me uncomfortable, but no one else has spoken up. What should I do?

Jokes and comments that relate to a protected characteristic, like national origin, run counter to our unifying values and may violate policies that relate to discrimination, harassment and retaliation. By doing nothing, we are condoning and tolerating behaviors that can erode the inclusive environment.

Designated Employee must report what they have observed to EEO-TIX at eeotix@usc.edu. You may also notify your manager or an HR partner of your concerns.

If you have any questions or concerns about Diversity, Equity and Inclusion, we encourage you to visit the Office for Diversity, Equity and Inclusion website.

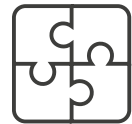
[Diversity, Equity and Inclusion website](#)





Promoting Equity and Inclusion

USC is committed to the respect, equity and inclusion of diverse identities, voices, ideas, experiences and abilities at the individual, team and institutional level. We actively promote equity and equal opportunity in admissions, hiring and all employment decisions, and we comply with laws that prohibit discrimination. We encourage faculty, staff and job applicants to identify any need for reasonable accommodations.



AT OUR BEST — A SHARED COMMITMENT

- Remember that respect for USC community members begins with our daily interactions with one another.
- We bring our best selves — set an example. Raise awareness about diversity, equity and inclusion and support our commitment to equal inclusion and belonging for all.
- Raise concerns through the appropriate channels about individual or institutional decisions made at USC that do not appear to align with our policies.



LIVING OUR VALUES

In my unit, the head of the unit and a colleague are close friends, and they frequently verbally harass or demean other colleagues at staff meetings. What should I do?

Behavior like that from anyone runs counter to our unifying values and is harmful to our culture. This is particularly true when such situations involve individuals in positions of power. If you feel comfortable doing so, you may choose to speak up against such behavior and support your colleague by checking in with those who are affected to see what their preferences are and/or contact a person of authority, such as your supervisor or HR partner. If you are a Designated Employee under USC’s Policy on Prohibited Discrimination, Harassment and Retaliation, you must also immediately report what you have observed to the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) if it appears to involve a protected characteristic.

I suspect that an individual at USC is engaging in discrimination based on race, and I am wondering whether it would be better for me to do some investigation on my own or to report my concerns. What would be the best course of action?

All members of the university community should be free to pursue their work, education and engagement in university programs and activities in an environment free from discrimination based on a protected characteristic (e.g., race). Instead of conducting your own investigation, you should report your concerns to EEO-TIX, which is the USC office with the expertise and responsibility to take prompt, equitable and appropriate action in response to your report.



TO LEARN MORE

If you have any questions or concerns about discrimination, harassment or retaliation related to a protected characteristic, we encourage you to contact the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) at eeotix@usc.edu.

[Policy on Prohibited Discrimination, Harassment and Retaliation](#)

[Disability Accommodations Policy](#)

[ADA compliance resources](#)

[Institutional Accessibility website](#)

[Notice of Non-Discrimination](#)





Well-being

WE HONOR THE WHOLE PERSON

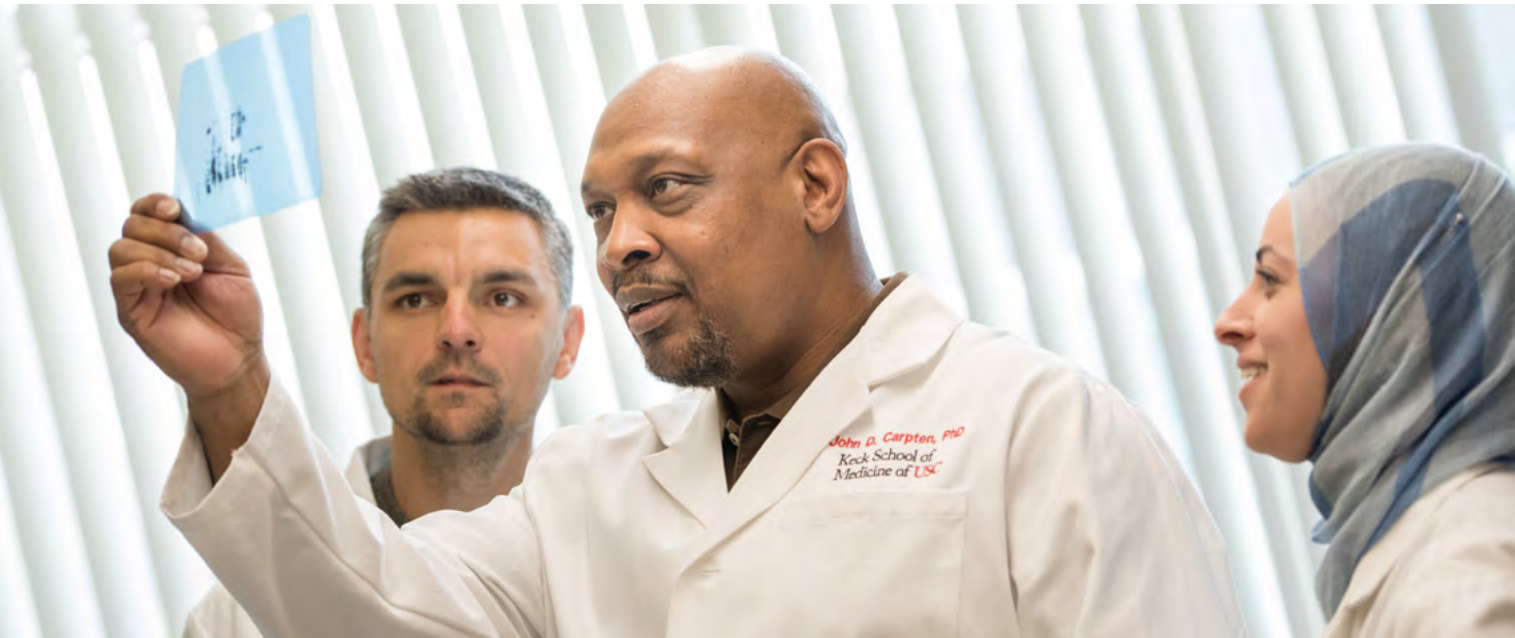
We create a caring culture that fosters our ability to thrive in mind, body and spirit and to sustain our pursuit of USC's mission.

In This Section:

Caring for One Another

Working for a Sustainable Future

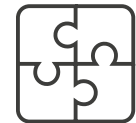
Participating in Political Activities



Caring for One Another

Trojans are committed to caring for each other, encouraging compassion and empathy and creating an environment where everyone can thrive. This includes ensuring that USC is a community free from intimidation, harassment, exclusion, discrimination, retaliation, threat and crime.

- Understand that individuals have commitments outside of work.
- Respect people's time off.
- Appreciate and state how your employees are specifically valued and why what they do matters.



AT OUR BEST — A SHARED COMMITMENT

- Seek advice, support and refer when concerned about a fellow Trojan.
- Know the campus resources.
- Treat all with fairness, civility and respect.
- Listen to others with curiosity and an open mind.
- If you are in a leadership or supervisory position:
 - Create a caring culture that fosters our ability to thrive in mind, body and spirit.
 - Strive for manageable and equitable workloads and realistic expectations and deadlines.
 - Create policies and practices that consistently take individual and community well-being into account.



TO LEARN MORE

If you have any questions or concerns about sexual misconduct or discrimination or harassment based on a protected class (e.g., race, sex), contact the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) at eeotix@usc.edu.

If you have any questions or concerns about health or safety issues, contact Environmental Health and Safety [here](#) or by calling **(323) 442-2200**.

[Policy on Prohibited Discrimination, Harassment and Retaliation](#)

[Office for Equity, Equal Opportunity, and Title IX website](#)

[USC Environmental Health and Safety website](#)

[WorkWell Center](#)



HARASSMENT

Conduct by anyone that harasses another, or creates an intimidating, offensive, abusive or hostile work environment, will not be tolerated. We all must follow [USC's Policy on Prohibited Discrimination, Harassment and Retaliation](#).



LIVING OUR VALUES

While at a conference, a colleague repeatedly asked me out for drinks and made comments about my appearance that made me uncomfortable. I asked my colleague to stop, but the comments continued. We were not on campus and it was on personal time, so I was not sure what I should do. Is this harassment?

University policy prohibits harassment based on sex and gender in university programs and activities. Under certain circumstances, off-campus conduct has the potential to affect an individual's ability to access programs and activities. This type of conduct should be reported directly to the Office for Equity, Equal Opportunity, and Title IX (EEO-TIX) at eeotix@usc.edu or

through the [USC Report & Response website](#) portal. The USC Report & Response website also provides resources and FAQs about reporting concerns.

I just learned that a good friend of mine who works at USC has been accused of sexual harassment and that an investigation is being launched. I cannot believe it is true, and I think it's only fair that I give my friend an advance warning or a "heads up."

USC is committed to undertaking thorough, complete and unbiased investigations. Providing a "heads up" to your friend could affect the integrity of the investigation. Accordingly, the university expects that you refrain from such communications. Your friend will be given the opportunity to respond to these allegations, and every effort will be made to conduct a fair and impartial investigation. An allegation of sexual harassment is a very serious matter with implications not only for the individuals involved but also for the university. Alerting your friend could jeopardize the investigation for your friend and for the individual raising the concern and expose USC to additional risk and liability.

Working for a Sustainable Future

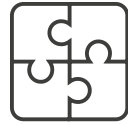
At USC, we believe that environmental, economic and social sustainability must be an integral part of our teaching, research, operations and engagement with each other and our broader community. The goals we have established and the initiatives we are undertaking are imperative for creating a sustainable future. As Trojans, we need to do our part to promote these efforts and weave them into how we perform our individual job responsibilities.



SUSTAINABILITY

Sustainability is a way of living and working in response to global challenges, including climate change, degradation of natural resources and loss of biodiversity.

We are committed to teaching and research that furthers our understanding of these challenges and solutions, as well as addressing them through modeling best practices, both on campus and through engagement with others, all in support of our unifying values.



AT OUR BEST — A SHARED COMMITMENT

- Learn and incorporate sustainability concepts and practices into your teaching, research, department operations and individual behavior.
- Proactively look for ways to use energy and natural resources more efficiently and reduce waste, including following USC sustainability policies and procedures.



TO LEARN MORE

If you have any questions or concerns about sustainability, contact the University Sustainability Office at sustainability@usc.edu.

[USC Sustainability website](#)



Working together
for a sustainable future



Participating in Political Activities

We believe in the rights of our faculty, staff and students to participate in the political process. We also follow the law and are careful whenever the university is involved in lobbying or other political activities. There may be times at work when we discuss topics about which we are passionate such as politics. We may hear our fellow Trojans sharing positions that differ from our own. In such circumstances, we seek to hear each other's perspectives. The rights of free speech and academic freedom go hand-in-hand with the responsibility to provide an inclusive and safe environment for all our faculty, staff and students.



AT OUR BEST — A SHARED COMMITMENT

- Remember that university services, funds, assets and facilities cannot be used for political purposes unless approved by University Relations.
- When publicly discussing politics, make it clear that your views and actions are your own and not those of USC, unless you are authorized to speak on USC's behalf by University Relations.



LIVING OUR VALUES

An elected official asked to use a USC facility for a campaign event. Is this allowed?

It is important that you inform University Relations before extending an invitation or approving such a request. There are many complex reporting requirements that need to be followed and much that needs to be coordinated. University Relations will be able to advise you (and anyone else at USC who may be involved) on the proper procedures. University Relations will also keep track of communications, determine whether the use of facilities or the provision of services constitute gifts to public officials, assess whether the activity is considered lobbying and advise on any specific reporting requirements that apply.



TO LEARN MORE

If you have any questions or concerns about political activities, contact University Relations at localgov@usc.edu.

[Political Activity Policy](#)

[Government Relations website](#)





Open Communication

WE SHARE OPENLY
AND HONESTLY

We actively listen and communicate in a clear, honest, timely and accessible manner and provide opportunities for safe, respectful dialogue and interaction.

In This Section:

Creating an Environment for Open and Honest Dialogue

Freedom of Expression at USC

Representing USC



Creating an Environment for Open and Honest Dialogue

As Trojans, we believe the best way to promote intellectual curiosity and sustain academic freedom is to create and maintain an environment that supports open and respectful dialogue.

Open and respectful dialogue fosters trust and engagement with our diverse community, including our faculty, staff, students, patients and those who partner with us. When trust is present, every Trojan can learn, lead, innovate and create.



AT OUR BEST — A SHARED COMMITMENT

- Communicate with respect and cultural sensitivity.
- Actively listen and solicit dialogue.
- Show respect for the opinions of others.
- Remember it is OK to agree to disagree.
- Seek to understand diverse perspectives.
- Work together to ensure an environment that supports free and open inquiry, civility, patience, acceptance, mutual respect and understanding.
- Never engage in violence or intimidation as a means for closing discussion and debate.



LIVING OUR VALUES

I am part of an interdisciplinary committee, and I am frustrated by the lack of candor and cooperation. Too often members of the committee withhold what I consider to be important information. I believe, in some cases, that they want to avoid sharing bad news, or they fear that the information might lead to difficult or awkward discussions, but I feel we need to have those discussions if we are to make solid decisions. What should I do?

You are correct that it is important that we have frank and candid conversations, even if they are difficult. You should discuss the matter with the committee. In some instances, there may be privacy or confidentiality issues that limit what information can be shared, but overall, we need to encourage open and honest discussions whenever possible.



TO LEARN MORE

If you have any questions or concerns about promoting open and honest dialogue, contact the Office of Culture, Ethics and Compliance at compliance@usc.edu.

Freedom of Expression

At USC we acknowledge and support differing perspectives, and we encourage robust discussions and civil discourse. Our commitment to the expression of differing opinions and concerns is an essential element of the academic process.

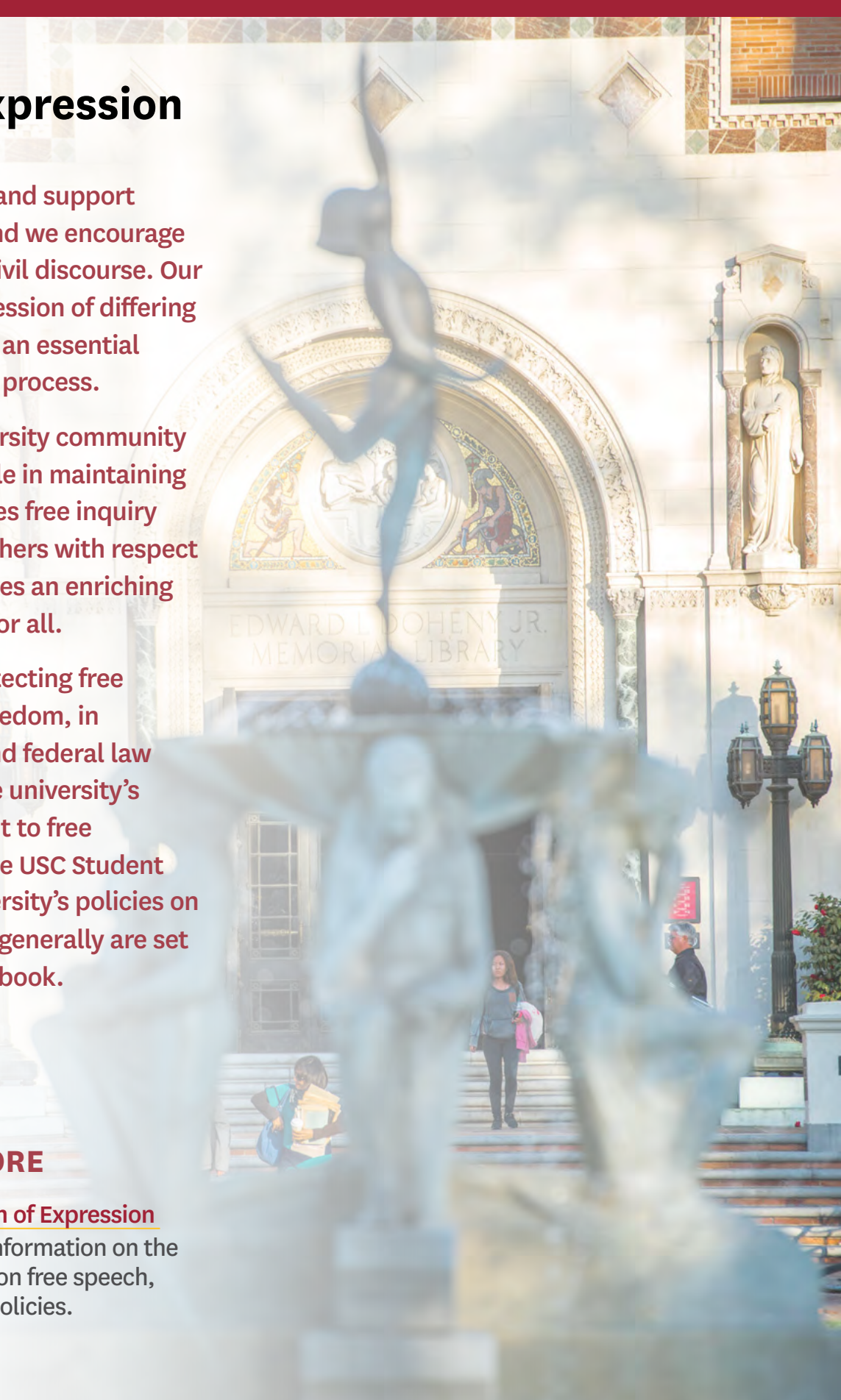
All members of the university community can play an important role in maintaining an atmosphere that values free inquiry and expression, treats others with respect and empathy, and provides an enriching educational experience for all.

USC is committed to protecting free speech and academic freedom, in compliance with state and federal law and university policy. The university's policies on students' right to free speech are set forth in the USC Student Handbook, and the university's policies on academic freedom more generally are set forth in the Faculty Handbook.



TO LEARN MORE

Visit USC's [Freedom of Expression website](#) for more information on the university's values on free speech, expectations and policies.



Representing USC

Our faculty and staff are leaders in their fields of expertise and are encouraged to contribute to the advancement of the arts, sciences and public policy. This often includes conducting research, creating new works, publishing, presenting and serving the community. In all these ways, members of our community are representing USC. In these activities, they are free to explore and innovate, bounded only by our values and personal and professional standards.

However, there may be situations when faculty and staff are asked to speak to the public and officially represent the university. In these instances, only authorized spokespeople are permitted to take positions and speak on behalf of USC.



USING SOCIAL MEDIA

Social media is an excellent way to connect with other Trojans and beyond, but always be careful when writing anything that might be published online, especially if you are identified as a USC employee. When you use social media, keep the following in mind:

- Keep in mind the potential application of University policy, including the University's Policy on Prohibited Discrimination, Harassment, and Retaliation.
- When listing USC as your employer on any social media site, consider that your social media activity may have an impact on the public image and reputation of the university. Take care that you do not give the impression that you are speaking on behalf of USC.



AT OUR BEST — A SHARED COMMITMENT

- Draft communications carefully and consider how your message will be interpreted by others.
- Unless you are authorized to do so, never give the impression that you are speaking on behalf of USC in any communication that may become public.
- Be mindful of privacy and confidentiality when using social media.
- Do not post images of USC patients on your personal social media accounts.



LIVING OUR VALUES

I have a personal blog where I share my thoughts and feelings with my friends. What should I consider before including any work-related information?

Do not disclose or discuss any confidential information you may have obtained from the university, school or departmental records through a position of trust or confidence. This includes, but is not limited to, intellectual property, proprietary trade information, confidential student records, patient records, donor files and personal data such as employee home addresses.



TO LEARN MORE

If you have any questions or concerns about representing USC or using social media, contact USC Employee Engagement and Communications at gateway@usc.edu.

[Faculty Handbook](#)

[Keck Medicine of USC Social Media Policy](#)

Keck Medical
Center of USC



Accountability

WE TAKE RESPONSIBILITY

At all levels of the university, we set clear expectations and take responsibility for our actions, decisions, outcomes and consequences.

In This Section:

Being Accountable

Using University Resources

Ensuring the Integrity and Accuracy of Our Records

Protecting Personal and Confidential Information

Meeting Our Healthcare Obligations





Being Accountable

We are committed to holding ourselves and each other accountable to all university policies and applicable laws, and to living our Unifying Values.

By holding ourselves and others accountable, we help ensure that our values will be more than just words. By adhering to our mission and acting in accordance with our values, we build trust and lead by example. As Trojans, we undertake all our actions with the understanding that we are accountable to ourselves, to each other and to our communities.

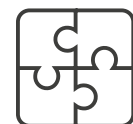
- If you are in a leadership position:
 - Do not apply different standards based on power or status.
 - Do not blame others for your own mistakes.
 - Do not retaliate or allow others to retaliate.
- We are accountable for knowing requirements that apply to our positions and for completing training.



LIVING OUR VALUES

I am a supervisor. If I observe misconduct in an area not under my supervision, am I still required to report the issue? I would rather not get involved.

Accountability is everyone’s responsibility, and as a supervisor you are always expected to address misconduct. In this case, the best approach would be to talk first with the supervisor who oversees the area where the issue is occurring, but if this doesn’t work, or isn’t feasible, contact Human Resources. And remember: If there is misconduct anywhere at USC, it affects all of us.



AT OUR BEST — A SHARED COMMITMENT

- Follow through on the promises you make, learn from your mistakes and accept the consequences of your actions and decisions.
- Take a proactive stance toward accountability. Accountability is not just about looking back on our actions; it is a value we work toward.
- Do not cut corners, cover up mistakes or avoid addressing problems.
- When you observe something that may make a member of our community feel devalued, say something and take action.



TO LEARN MORE

If you have any questions or concerns about accountability, contact the Office of Culture, Ethics and Compliance at compliance@usc.edu or Human Resources at uschr@usc.edu.

[Investigation of Non-Protected Class Conduct in Violation of University Policy](#)

[Cooperation with Compliance Investigations Policy](#)

[Office of Culture, Ethics and Compliance website](#)

[USC Report & Response](#)

[Trojans Care 4 Trojans \(TC4T\) — Campus Support and Intervention](#)

[Policy on Prohibited Discrimination, Harassment and Retaliation](#)

[Office of Healthcare Compliance website](#)

[Keck Medicine SRM](#)

[Campus Wellbeing and Crisis Intervention](#)



Using University Resources

Each of us is entrusted with the care of USC resources. We all must do our part to protect these resources from loss, damage, theft, waste and improper use.



USC'S RESOURCES INCLUDE:



Physical assets — Office equipment, furnishings, university vehicles, inventory and supplies



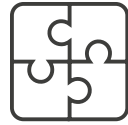
Information assets — USC logos, brand, research findings, data and databases, and intellectual property



Financial assets — Funds including checks, petty cash, credit cards, invoices and other financial records



Electronic assets — Computers, peripherals, electronic storage devices, telephones, information systems, internet/intranet access, personal digital assistants and other similar devices, systems and technology



AT OUR BEST — A SHARED COMMITMENT

- *Treat USC property with the same care and respect with which you treat your own.*
- *Strive to obtain the best value when making purchases for USC.*
- *Do not use USC property or resources for personal use, except as permitted by USC's policies.*
- *Secure your office, workstation and equipment by locking items or completely shutting down systems.*



LIVING OUR VALUES

I'm working remotely with a group of colleagues, and they asked me for my password so they could log in to another system that we use collaboratively. It is really important that my colleagues have access. May I share my password with them?

No, you cannot share your password. Sharing passwords is a significant cause of cybersecurity risk at USC. Contact Information Technology Services at consult@usc.edu or 213-740-5555. They will assist you in finding a different way to share the information.



PROTECT OUR DATA AND INFORMATION SYSTEMS

Follow our information security and privacy policies that are designed to protect our information networks, digital assets, computers, programs and data from attack, damage or unauthorized access:

- Report any cybersecurity incident including lost or stolen devices immediately to security@usc.edu or call 213-740-5555.
- Take annual cybersecurity training for all staff and faculty.
- If you manage any information systems, websites or digital assets, be sure to understand your additional responsibilities in maintaining the security of the assets you manage.
- Limit personal use of USC-owned computers and phones. Occasional

personal use is permissible if it doesn't interfere with your job responsibilities or productivity.

- Protect your usernames and passwords.
- Utilize multifactor authentication for USC email accounts and remote access to systems and networks at USC. Report suspicious links in emails, even if you think you know the source.
- Do not use unlicensed software or use your USC-owned computers and phones for games, jokes or viewing offensive or illegal material.
- Ensure laptops and mobile devices that access USC information, data or systems have disk encryption enabled. This reduces the privacy risks if the device or laptop is stolen or lost.



TO LEARN MORE

If you have any questions or concerns about using university resources, contact Audit Services at ofa@usc.edu.

[Misappropriation of University Assets Policy](#)

[Acceptable Use Policy](#)

[Financial and Business Services website](#)

[Information Technology Services](#)

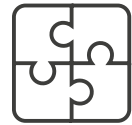
[Keck IS Password Security Policy](#)



Ensuring the Integrity and Accuracy of Our Records

Each of us has a responsibility to ensure that the information we record is full, fair, accurate, timely and understandable.

Employees involved in preparing financial statements have special responsibilities in this area, but all of us contribute to the process of accurately recording financial results and maintaining accurate records.



AT OUR BEST — A SHARED COMMITMENT

- Be truthful. Never falsify any transactions or record any misleading entries.
- Carefully follow all legal requirements and our internal controls and make sure all records are supported by proper documentation.
- Manage records responsibly. Know and follow our policies related to handling, storage and disposal of records. If you receive a legal hold notice, follow its instructions on maintaining the information it covers.



LIVING OUR VALUES

I met with a salesperson and was asked to sign a contract for the supplies I need to purchase. Since it is only a few thousand dollars, my department has the funds and I know it is a good deal, can I go ahead and sign the contract instead of sending it to Procurement?

No. Very few individuals have authority to sign agreements, regardless of dollar value. Unless you have expressly been authorized to sign agreements via a formal signature delegation letter, you cannot sign an agreement that binds the university with a third party.



I am a research administrator in a lab. We are in the final month of a National Institutes of Health project and have a large balance left in the account. One of the researchers asked me to buy a piece of equipment for the lab that we have not been able to afford in the past; it will really help accelerate our future research in new and exciting ways. As long as the equipment will help future research in the same field, is it OK for me to use the remaining funds for this purchase?

No. The funds provided are restricted and can only be spent in support of the specific research project, in accordance with the sponsored research contract. In this case, the project will end before it can benefit from the purchased equipment.

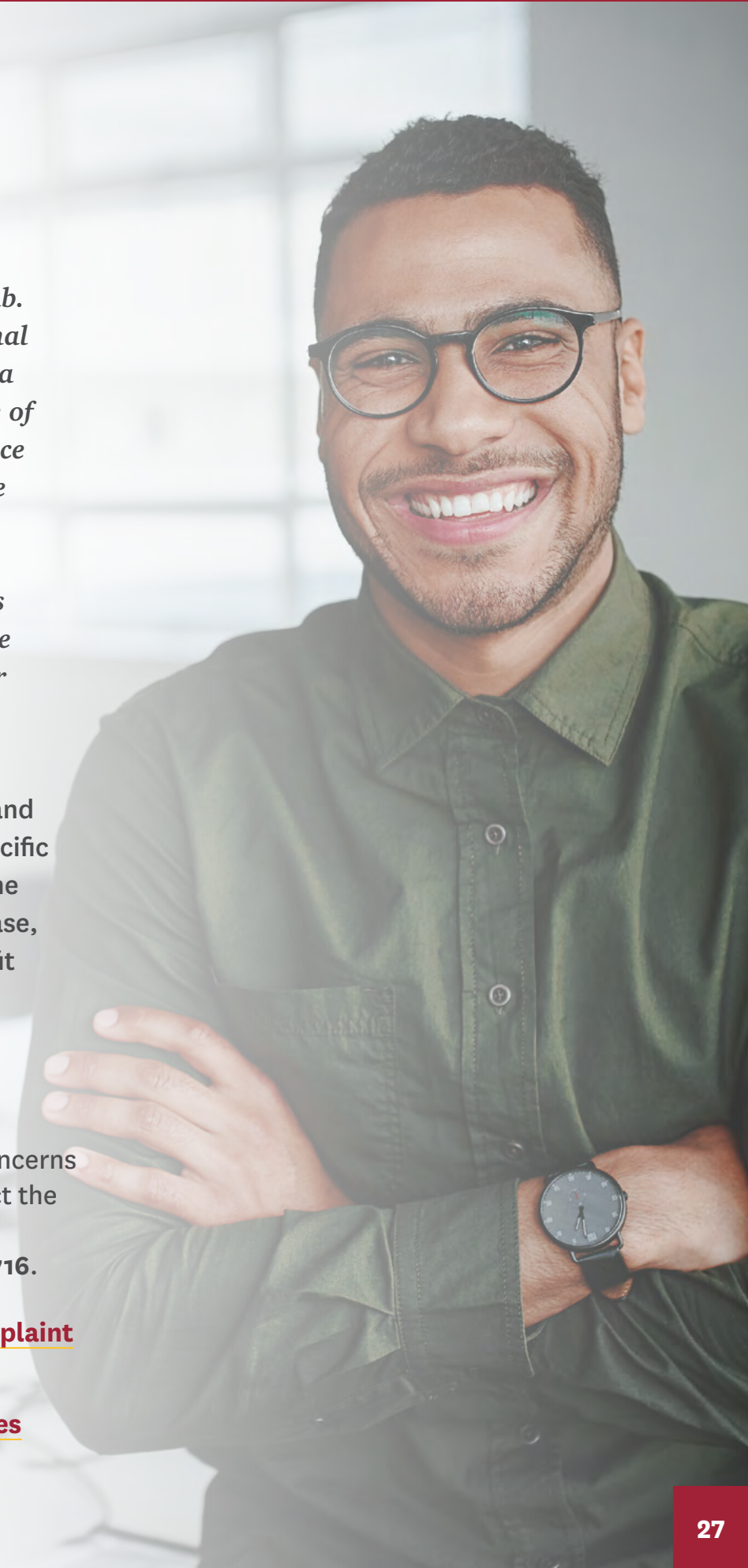


TO LEARN MORE

If you have any questions or concerns about financial records, contact the USC Business Services Office at (213) 740-2281 or (213) 740-2716.

[Accounting and Auditing Complaint Reporting Policy](#)

[Financial and Business Services website](#)



Protecting Personal and Confidential Information

Our colleagues, students, prospective students, patients and others trust us to handle their personal information with care. We must honor that trust by respecting their privacy and taking steps to protect their personal information.

In addition to personal information, we may also have access to confidential information related to USC’s operations as well as information entrusted to us by third parties. We must keep all such information secure and protect it from loss, misuse and inappropriate access or disclosure.



AT OUR BEST – A SHARED COMMITMENT

- Respect the privacy of others. Keep personal and confidential information safe and secure.
- Use care when handling and storing personal and confidential information.
- Be mindful to only collect, access, use, share and disclose the minimum amount of personal information needed to accomplish the task.
- Only share USC personal and confidential information on a need-to-know basis and as permitted by USC policies and the law.

- Use university-owned technology and devices for appropriate purposes to help limit vulnerabilities leveraged by bad actors to access personal and confidential information.
- When separating from USC, return all sensitive university data and USC-owned devices unless an exception has been granted.



DATA PRIVACY

Data privacy laws, including the [Health Insurance Portability and Accountability Act \(HIPAA\)](#) and the [Family Educational Rights and Privacy Act \(FERPA\)](#), govern how we collect, store, use, share, transfer and dispose of the personal information of USC employees and students.

Under these and other similar laws, private or personal information means any information that can be used to identify a specific person, such as name, address, phone number, photo, birth date, driver’s license number, banking or payroll information, government-issued identification information, medical condition, medical history, medical record number or other similar personal information.



LIVING OUR VALUES

I received a phone call from a colleague requesting the name, Social Security number; bank account information, home address and date of birth for a large number of university employees. The individual requesting the information said it was an emergency and that my supervisor approved the request. I know the information being requested is sensitive, but is it OK to provide it to the caller?

When asked to share sensitive information such as Social Security number and bank account information, exercise caution. Verify the identity and authority of the requestor, double check with your supervisor, and if the request is valid, only provide the minimum amount of information necessary to satisfy the purpose of the request. And, if appropriate, check with your local IT administrator on the most secure way to transmit the information.



TO LEARN MORE

If you have any questions or concerns about personal or confidential information, contact the Office of Culture, Ethics and Compliance at compliance@usc.edu.

[Acceptable Use Policy](#)

[Data Privacy Policy](#)

[HIPAA Policies](#)

[Keck IS Policies](#)

A good friend of mine called me at work and asked me to use my access to the Student Information System to check her son’s grades. My friend confided in me that she has noticed her son demonstrating some erratic behavior and is concerned he is not performing well in his classes. Should I provide my friend the information?

No. Although you may want to help your friend, the Family Educational Rights and Privacy Act (FERPA) prohibits disclosing a student’s grades to parents without the student’s permission. Sharing the information violates the student’s FERPA privacy rights, and if the student complained to the Department of Education (DoE), it could result in an investigation and consequences to USC including loss of DoE funding.

[Payment Card Industry Data Security Standards Policy](#)

[Protection of Consumer Financial Information Policy](#)

[Protection of Social Security Numbers and Other Restricted Information Policy](#)

[Record Management Policy](#)

[Student Records Policy](#)

[Employee Records Policy](#)



Meeting Our Healthcare Obligations

Whether through Keck Medicine of USC or the departments and schools of University Clinical Services, our highest priority is delivering exceptional, compassionate care to patients and their families. We believe that all patients are entitled to equal access to care and are treated with respect.

We commit to delivering high-quality care with kindness and consideration.

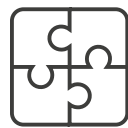
We exhibit excellence in all we do, incorporating sound judgment in our decisions, practicing civility in our interactions and communications with our patients, families and co-workers.

Respect is the cornerstone of the **Keck Commitment** and guides our pursuit of excellence in the workplace.



PATIENT PRIVACY

Our patients' privacy and the security of their health information is one of our top priorities. Protecting the confidentiality of our patients and safeguarding their health information is a matter of trust — and is required by law. We have a duty to safeguard and protect patient health information as we provide and coordinate care for our patients.



AT OUR BEST — A SHARED COMMITMENT

- Treat all patients and their families with respect and dignity.
- Provide quality care that is safe, appropriate and medically necessary.
- Be responsive to individual healthcare needs; make reasonable efforts to accommodate individual preferences.
- Help patients understand and exercise their rights, including the right to privacy, to be free from discrimination and to make informed healthcare decisions, and encourage them to speak openly with their healthcare team.
- Provide accurate and timely responses to patients' questions.
- Ensure that patients receive care in a safe setting free from all forms of abuse or harassment.
- Understand your obligations to follow all federal and state healthcare program requirements.
- Disclose any potential conflicts of interest that could influence or appear to influence clinical judgment in the provision of care.
- Make sure that meaningful, timely, complete and clinically pertinent medical records are documented for all patients.



LIVING OUR VALUES

I was recently in a situation that made me uncomfortable. A physician needed to ask a patient about her sexual history to obtain a full clinical picture. The patient was clearly reluctant to answer the questions, but I did not feel it was my place to speak up. What should I have done?

The physician should have explained why these questions were necessary. This would have helped make the questions feel less invasive and prevent the patient from wondering if the clinician was asking the questions for an inappropriate reason. Active communication between the physician and individuals assisting during the history and exam is beneficial for both the patient and physician, and you can play a critical role in it. Use of key words such as “update” when a patient needs explanation or “pause” when a patient is experiencing discomfort can be cues to use to prevent miscommunication during sensitive encounters. Ask your supervisor for additional training for both yourself and the physician on how you can communicate during a history and examination.



TO LEARN MORE

If you have any questions or concerns about meeting our healthcare obligations, contact the Office of Healthcare Compliance at compliance@med.usc.edu.



While walking back to my department, I overheard other staff members discussing details about a celebrity patient in house receiving care. Can I share this information with my department since we all coordinate care for patients in the hospital?

You may only disclose patient health information to other faculty and staff members who are coordinating care for the specific patient in question. The information you overheard is not one of your patients. Therefore, as you are not coordinating or assisting in care for the celebrity patient, you may not further disclose that information to anyone else. Also remember that it is not appropriate to access medical records for any patient you are not treating or assisting in the coordination of care.

[HIPAA Policies](#)

[Office of Healthcare Compliance website](#)

[Office of Integrated Risk Management website](#)

[Keck Medical Center of USC policies](#)

[USC Verdugo Hills Hospital policies](#)

[USC Care Medical Group policies](#)

[Keck Professionalism Program](#)



Helpful Resources

RESOURCE:



CONTACT:



Office of Culture, Ethics and Compliance

compliance@usc.edu (213) 740-8258
ooc.usc.edu

Office for Equity, Equal Opportunity, and Title IX (EEO-TIX)

eeotix@usc.edu (213) 740-5086
eeotix.usc.edu

Ombuds Office

University Park Campus
upcombuds@usc.edu (213) 821-8556

Health Sciences Campus
hscombuds@usc.edu (323) 442-0382

USC Report & Response

(213) 740-2500 or (800) 348-7454
or visit report.usc.edu

Academic Senate Office

acsenate@usc.edu (213) 740-7169

Office of Human Resources

uschr@usc.edu (213) 821-8100

University Relations

localgov@usc.edu (213) 740-5371

Office of Professionalism and Ethics

ope.usc.edu (213) 740-5755

Office of Healthcare Compliance

compliance@med.usc.edu (323) 442-8588

Staff Assembly

staff.assembly@usc.edu





Living Our Values, A Message from Provost Guzman and Dr. Shapiro

Dear Colleagues,

There are so many things to be excited about at USC. As we continue to grow as an institution, it is imperative that our campus culture reinforces our unifying values and enables each of us to thrive. This is how USC will continue to be successful in pursuing its academic mission, expanding its research, and serving the communities surrounding our campuses and beyond.

At times in the course of our work we are called to deal with complex challenges. Some of the most important things we can do in these instances is reflect on how USC's values pertain to the situation, consult resources like this one, and seek guidance by asking questions. Please review this Integrity and Accountability Code and keep it bookmarked for easy reference. The policies and guidelines within these pages reinforce the values that we all embrace as well as support thoughtful, ethical decision-making and community participation.

If you would like clarification or more information on any part of the contents of this Code, please consult the resources page or reach out to our colleagues in the Office of Culture, Ethics and Compliance. The Culture, Ethics and Compliance team will be happy to assist you with topics ranging from data protection to research compliance, accessibility, raising concerns, and more.

Thank you for all you do to continually improve the Trojan experience.

Sincerely,

Andrew Guzman

Provost and Senior Vice President for Academic Affairs

Dear Colleagues,

Medicine—with its ability to save or transform lives, often when people are at their most vulnerable—is among the highest of callings. There are few professions in which integrity and accountability are more important than health care.

This Integrity and Accountability Code exists to support us in our endeavors. It was developed by the University with extensive input from Keck Medicine of USC and the Keck School of Medicine of USC. I urge you to consult this Code and familiarize yourself with its contents. It is important that we all understand the values that unify us as members of the USC community; along with the policies, resources and behaviors that align with those values.

No matter your job in our health system, you play a vital role in providing best-in-class, compassionate care to diverse populations. I want to thank you for the work you do, and for being committed to acting with the utmost integrity in our constant pursuit of excellence.

Sincerely,

Dr. Steven Shapiro

Senior Vice President, Health Affairs