



# CODE OF CONDUCT

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## Revision Table

Version	Effective Date	Revision Author	Summary of Revisions
2.0	March 18, 2022	Amy Brown Coffin	Revised policy guidance, dress code, and formatting; Added conflicts of interest, books and records, protection of property and information, gifts, political activity, and environment sections
3.0	May 11, 2023	Amy Brown Coffin	Changed from PO-02 to BP-15; DHRM provided review, added Whistleblower and Personnel policy references, updated values, added section on board member conflicts of interest as well as additional details on staff conflicts of interest, added Board Member Conflict of Interest Statement form
4.0		Amy Brown Coffin	Updated to new template; Moved Quality Customer Service, Dress Code, Abusive Conduct Prevention, Substance Abuse, Workplace Harassment to Personnel Policy; Replaced references of that State of Utah to UIPA; Moved Gifts and Policy Activity under Staff Member Conflicts of Interest; Added references to UIPA board and internal policies and definitions; Added Legal Review input

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## I. Purpose Statement

This policy provides guidance on organizational expectations, best practices, behavior, and conflicts of interest for the Utah Inland Port Authority (UIPA). The purpose of this policy is to set forth standards of conduct for officers, employees, and staff members of the Utah Inland Port Authority.

### Regulatory / Legislative Requirements

- Hatch Act of 1939
- UCA 63a-17-9-904 Political Activity of Employees
- UCA 63g-2-6 Government Records Access and Management Act
- UCA 67-16-5 Public Officers' and Employees Ethics Act

## II. Scope

The policy covers all aspects of the UIPA Code of Conduct and is applicable to all staff and board members of the UIPA.

## III. References

- BP-07 Procurement Policy
- BP-08 Whistleblower Policy
- BP-10 Records Retention Policy
- BP-11 Personnel Policy
- BP-12 Segregation of Duties Policy
- DHRM R477-9-4 Political Activity
- PO-06 Acceptable Use of Information Technology Policy
- PO-12 Travel Policy
- PO-13 Personal Reimbursement Policy
- PO-17 Purchasing Cards Policy

## IV. Definitions

Term	Definition
DHRM	Department of Human Resources

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Employee	Anyone who receives salary/wage from the organization, including full or part-time staff, and interns.
OSA	Office of the State Auditor
Staff Member	Anyone who receives salary/wage or payment from the organization, including full or part-time staff, interns, and contractors.

### V. Roles & Responsibilities

Role	Responsibility
Chief Risk & Compliance Officer	<ul style="list-style-type: none"> <li>Oversee the Code of Conduct policy and training</li> <li>Manage the Conflicts of Interest disclosures</li> </ul>

### VI. Policy

The Code of Conduct applies to all UIPA board members and employees regardless of employment agreement or rank. We are expected to read, understand, and comply with the Code of Conduct and all UIPA policies.

The UIPA recognizes the conduct of all its employees greatly affects the quality of each employee's work satisfaction and credibility. It further affects the quality-of-service delivery to its customers. As representatives of the Utah Inland Port Authority, employees are required to display professionalism in their interactions with co-workers and customers and conduct themselves in such a way as to maintain the public trust. Employees who do not abide by these standards may be subject to disciplinary action.

Employees shall demonstrate support for the mission, vision, and values of the UIPA. They shall abide by the operating principles, rules, workplace policies and procedures that govern their work or professional activities.

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### VII. Values

Our values are the heart of our culture at the UIPA. All UIPA staff members are expected to uphold these values. Our core values that are essential in achieving our mission and vision are:

- **Collaboration:** we are approachable connectors and enthusiastic partners, working jointly with communities, leaders, and businesses to build connections and facilitate measurable growth in the local economy and industry at large.
- **Accountability:** We are honest and reliable stewards, who approach our work with transparency and intentionally exercise responsibility on all levels (civic, environmental, fiscal). We maintain a high say-to-do ratio.
- **Sustainability:** We are drivers of sustainable outcomes, both environmental and economic, as we modernize development to safeguard Utah's natural beauty. Our risk-reducing strategies improve overall quality of life for Utahns by enhancing community livability.
- **Respect:** All employees should respect their colleagues. We won't allow any kind of discriminatory behavior, harassment, or victimization. We are equitable professionals and eager listeners, who treat everyone with fairness and impartiality. We seek and heed the opinions of all parties, and create the right solution based on the unique needs of the region and community.
- **Innovation:** We are action-oriented thought-leaders who will bring a measure of economic resilience to Utah and empower local and statewide growth. We stay on the forefront and make it happen—our “boots on the ground” mentality and productivity will enable the kind of future-focused logistics infrastructure that will transform Utah.
- **Compliance with Law:** UIPA is committed to full compliance with the laws, rules and regulations of the state and federal government. You must comply with all applicable laws, rules, and regulations when performing your duties. All UIPA employees have a continuing obligation to familiarize themselves with all applicable laws relating to their job responsibilities and UIPA policies. Breach of these standards may give rise to disciplinary action up to and including dismissal.

### VIII. Reporting Concerns

At times, we may encounter situations in which the right choice is not perfectly clear. If you need to ask for help or voice a concern, your leader is likely the best person to speak

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to. However, you are always encouraged to contact any of the following resources to seek guidance or report your concerns:

- Chief Risk & Compliance Officer
- UIPA Executive Leadership
- UIPA Board of Directors
- Division of Human Resources Management
- Office of the State Auditor

For additional information on reporting concerns, please follow the Whistleblower Policy and Personnel Policy.

### IX. Conflicts of Interest

Each UIPA board and staff member is under an obligation to disclose the existence of a conflict of interest as it arises.

#### Board Member Conflicts of Interest

Board members must adhere to the requirements pursuant to UCA §§ 11-58-304 and 67-16-1 *et seq.* In order to comply with these requirements:

- Newly appointed board members will complete a Conflict of Interests Statement (See [XXIII – Board Member Conflict of Interest Statement](#)).
- A voting board member will recuse themselves from voting on any project area resolution or amendment if any of the above conflicts exist.
- Upon the adoption of a new project area, board members will need to complete an addendum to their existing Conflicts of Interests Statement.

#### Staff Member Conflicts of Interest

Staff members must adhere to UCA 67-16-1 *et seq.* the Utah Public Employees and Ethics Act. We must avoid all real and potential conflicts between our personal interests and those of the UIPA. These conflicts include participation in outside activities that interfere with their performance, conflict with the interests of UIPA, or any action that would result in a conflict between an employee’s public duties and private interests.

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We are all expected to act in the best interests of the UIPA and to exercise sound judgment when working on the UIPA’s behalf. This means that UIPA decisions should be made free from any conflict of interest. Even the appearance of a conflict can damage your or the UIPA’s reputation.

A “conflict of interest” can occur when outside activities or personal interests conflict or appear to conflict with our responsibility to the UIPA or when we use (or could use) our position with the UIPA or information we have acquired during employment in a way that creates a conflict between our personal interests and the interests of the UIPA.

UIPA staff members are required to promptly disclose all conflicts and potential conflicts of interest to management. These conflicts include outside employment, outside board participation, employment of relatives, close relative or involvement with third parties, and financial investment in project areas. Conflicts in which you may be involved inadvertently, due to either business or personal relationships with contractors, vendors (including sub-contractors of vendors), partners, business associates of the UIPA, or with other employees. Many real and potential conflicts of interest can be resolved.

Please remember that these guidelines also apply to members of your “Immediate Family,” which includes spouses, domestic partners, parents, children, siblings, grandparents, grandchildren, in-laws, step-relatives, aunts, uncles, and other significant relationships.

An employee shall declare a potential conflict of interest when required to do or decide something that could be interpreted as a conflict of interest. UIPA executive leadership shall then excuse the employee from making decisions or taking actions that may cause a conflict of interest.

### Outside Employment

Any position that we hold outside our organization must not interfere with our ability to do our job at the Utah Inland Port Authority and act in our organization’s best interest. Our job with the UIPA must always be our first priority. Because of potential conflicts of interest, employees cannot accept employment without prior approval. A conflict of interest may also exist if any member of our immediate family is employed by or acts as sub-contractor/affiliate for or has a position to influence our partners or vendors.

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Employees may not serve as a director, trustee, officer, advisory board member or consultant or in a similar paid or unpaid position, other than with the UIPA, without prior approval. Accordingly, we should promptly disclose any such situations.

An employee must notify UIPA leadership in writing of and obtain approval for outside employment. Employees shall apply themselves to and shall fulfill their assigned duties during the time for which they are compensated.

Outside employment may not:

- Interfere with an employee's performance
- Conflict with the interests of UIPA
- Give reason for criticism nor suspicion of conflicting interests or duties

### Employment of Relatives

If we seek to hire or engage an immediate family member, or their company, to provide goods or services to the UIPA, we must first disclose the circumstances. In addition, if we are directly or indirectly involved in the hiring process, we must consult DHRM. The hiring process is outlined in the Personnel Policy.

In order to avoid conflicts of interest, including the appearance of favoritism, we may not work directly for, work in the same chain of command as, supervise or be in a position to make (or in fact) make or influence employment decisions about an Immediate Family member. This includes anyone with whom you are romantically involved.

### Business Opportunities

We may not accept business opportunities, fees, commissions or other advantageous financial arrangements from a contractor, partner, or vendor of the UIPA. In addition, we may not purchase for personal use the goods or services of UIPA's vendors on terms other than those available to the general public.

### Outside Investments

We should be careful in the case of investments that could affect or appear to affect our decision-making on behalf of the UIPA. This is especially true if we have discretionary authority in dealing directly or indirectly with that

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company as part of our job duties or if our investment in a company that does business with the UIPA is significant to us.

We may not make or hold a significant investment in a private entity that does business with or is seeking to do business with the UIPA without receiving approval. An interest is considered “significant” if it could impair, or reasonably appear to impair, our ability to act solely in the best interests of the Utah Inland Port Authority.

Note that these restrictions on outside investments do not apply to mutual funds or similar investments in which we do not have direct or indirect control over the particular investments included in the fund.

### Gifts

Employees will avoid all appearance of impropriety when accepting gifts. Employees are expected to comply with the Governor’s Executive Order on Ethics.

We must not receive, accept, take, seek, or solicit directly or indirectly gifts that may influence UIPA decisions. We must be cautious when giving gifts or accepting gifts from anyone who does or seeks to do business with the UIPA. Doing so may improperly influence, or appear to influence, our ability to make faithful and impartial decisions. In addition, we may not solicit any gifts from current or potential vendors or other partners.

### Political Activity

Employees are expected to adhere to DHRM rule R477-9-4, Political Activity, is intended to provide employees guidance on involvement in political activities including running for public office, campaigning for candidates for public office, soliciting political contributions, and attending political fundraising functions. Our involvement in political activities must be at our own expense and on our own time.

## X. Book and Records

We must ensure that the UIPA’s accounting and financial records meet the highest standards of accuracy and completeness. Employees shall make prudent and frugal use of UIPA funds, equipment, buildings, and supplies as well as adhere to all financial

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policies and procedures including but not limited to Personal Reimbursement, Procurement, Purchasing Cards, Segregation of Duties, and Travel Policies.

Reporting accurate, complete, and understandable information about the UIPA's programs and financial condition is one of our most important duties. We must never make any false or artificial entries in our books and records. Transactions with no economic substance that serve only to accelerate, postpone, or otherwise manipulate the accurate and timely recording of revenues or expenses raise the prospect of inaccurate books and records and even proposing such transactions to third parties like partners and vendors could be inappropriate. If you have reason to believe that any of our books or records are being maintained in a fraudulent, inaccurate, or incomplete manner, or if you feel pressured to prepare, alter, conceal, or destroy documents in violation of UIPA policy, report your concerns according to the Whistleblower Policy.

### Financial Statements

We must report any financial transactions accurately, completely, fairly, and in a timely and understandable manner. We also must ensure that the data we provide for the preparation of financial statements and reports complies with generally accepted accounting principles of the Governmental Accounting Standards Board (GASB) as well as the UIPA's internal controls.

Ensuring accurate and complete accounting and financial records is everyone's responsibility, not just a role for finance personnel. Accurate recordkeeping and reporting reflect on the UIPA's reputation and credibility and ensure that the UIPA meets its legal and statutory obligations. Whatever your part in this process, you are required to be honest and forthcoming – if you believe a transaction or payment cannot be accurately documented without raising legal questions or embarrassing the UIPA, the transaction should not be completed, and you should notify the Chief Risk & Compliance or the Office of the State Auditor Hotline.

### Record Management

We must retain all records according to the Government Records Access and Management Act. In addition, employees must adhere to the UIPA Records Retention Policy. It is important that we take special care to retain all records that relate to any imminent or ongoing investigation, lawsuit, or audit involving the UIPA. This means, in part, that we may never destroy, conceal, or alter any

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records in order to impede an investigation, lawsuit, or audit. Engaging in such activity may expose at-fault individuals or the UIPA to criminal liability. We must comply with all applicable discovery and litigation hold instructions immediately and consistently.

### XI. Protection of Property and Information

We must protect UIPA property, which includes all tangible and intangible assets. We must work together to prevent and halt theft, destruction, or misappropriation of all UIPA property, including physical property, confidential information, and intellectual property.

Employees may not use state-owned IT resources for personal financial gain, political lobbying, visual or sexually explicit use, nor any other purpose which violates state or federal laws or workplace policies. This is more fully described in the UIPA Policy Acceptable Use of Information Technology Services.

### XII. Environment

The UIPA is committed to safeguarding the quality of life and health in its communities and to preserving the environment in conjunction with efficient and effective operations. As environmental stewards, the UIPA team expects its employees to minimize any negative impacts to the environment while conducting business on UIPA’s behalf, and to cultivate harmonious relationships within our communities that are environmentally conscious and respectful. This means that UIPA operations will comply with all applicable environmental laws and regulations, as well as with established operating standards, policies, and procedures that provide a framework for environmental protection, accountability, and stewardship. The UIPA team demonstrates its commitment to the environment and its communities through the application of the following general principles:

- We operate with respect for the environment by working to minimize any environmental hazards, conserve and protect natural resources, and manage our energy usage.
- We maintain regular, open, and timely communication with all parties affected by our environmental performance and consult with employees, public

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communities, regulatory agencies, and other partners to provide and solicit constructive feedback.

- We minimize and mitigate any adverse environmental effects by designing, constructing, operating, and maintaining sustainable infrastructure in an environmentally responsible manner.
- We prepare for and respond to emergencies and natural disasters in a timely and effective manner and remedy any resulting environmental damage.
- We strive to continually improve our environmental performance, accommodate evolving standards, and integrate, where appropriate, the results of scientific investigation and technological innovation to enhance environmental preservation.

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### XIII. UIPA Board Member Conflict of Interest Statement

Pursuant to the Utah Inland Port Authority Act (Utah Code § 11-58-304)

I, \_\_\_\_\_, hereby declare the following: (PLEASE INITIAL)

\_\_\_\_\_ I do not own real property, other than a personal residence, which I reside in, within a project area<sup>1</sup>, whether or not the ownership interest is a recorded interest.

\_\_\_\_\_ My family members (parents, spouse, siblings, children, grandchildren) do not own an interest in real property, other than a personal residence in which the family member resides, located within a project area<sup>1</sup>.

\_\_\_\_\_ Neither I nor any of my family members (parents, spouse, siblings, children, grandchildren) own an interest in, are directly affiliated with, or are employees or officers of a private firm, private company, or other private entity that I reasonably believe is likely to: (i) participate in or receive a direct financial benefit<sup>2</sup> from the development of the authority jurisdictional land; or (ii) acquire an interest in or locate a facility within a project area<sup>1</sup>.

\_\_\_\_\_ I hereby agree that I will not, at any time during my service, take any action to initiate, negotiate, or otherwise arrange for the acquisition of an interest in real property within the project area<sup>1</sup>, if (i) the acquisition is in the personal capacity or in the capacity as an employee or officer of a private firm, private company, or other private entity; and (ii) the acquisition will enable the me to receive a direct financial benefit<sup>2</sup> as a result of the development of the project area<sup>1</sup>.

**I declare under penalty of perjury that the foregoing is true and correct.**

\_\_\_\_\_ Date

\_\_\_\_\_ Signature

<sup>1</sup> Project Area

(a) the authority jurisdictional land; or

(b) land outside the authority jurisdictional land, whether consisting of a single contiguous area or multiple noncontiguous areas, described in a project area plan or draft project area plan, where the development project set forth in the project area plan or draft project area plan takes place or is proposed to take place.

<sup>2</sup> Direct financial benefit

(i) means any form of financial benefit that accrues to an individual directly, including:

(A) compensation, commission, or any other form of a payment or increase of money; and

(B) an increase in the value of a business or property; and

(ii) does not include a financial benefit that accrues to the public generally.

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