

DRAFT 8/10/09

University Code of Conduct

1. INTRODUCTION AND PURPOSE

- a) **Introduction** - As members of the Southern Illinois University community, all faculty, staff, students, members of the Board of Trustees, University Officers and affiliates are responsible for sustaining the highest ethical standards of this institution. The University values respect, integrity, honesty, cooperation, communication, stewardship, continuous improvement, responsibility, accountability and transparency and strives for excellence in carrying out our teaching, research, public service, and patient care mission. The standards of the University Code of Conduct (the "Code"), supported through policies, guidelines, procedures and training, provide guidance for expected behavior in performing work duties, making decisions, and taking actions.
- b) **Applicability** - This Code applies to the following members of the Southern Illinois University Community: a) the members of the Board of Trustees; and b) all employees, including faculty, staff and students. The Code refers to all these persons as "members of the University community" or "community members."
- c) **Purpose** - This Code is a shared statement of our commitment to uphold the ethical, professional and legal standards. All community members must comply with the relevant policies, standards, laws and regulations that guide our work. We are each individually accountable for our own actions and, as members of the University community, are collectively accountable for upholding these standards of behavior and for compliance with applicable laws and policies.
- d) **Violations** - This Code also makes us responsible for bringing suspected violations of applicable standards, policies, laws or regulations to the attention of the appropriate office. Confirmed violations will result in appropriate disciplinary action, up to and including termination from employment or other relationships with the University. In some circumstances, civil and criminal charges and penalties may apply.
- e) **Questions** - Questions regarding the intent or applicability of this Code should be directed to the Senior Vice President for Financial and Administrative Affairs and Board Treasurer.

2. RESPONSIBILITY

The President and each Chancellor is responsible for disseminating this Code of Conduct and for providing guidance on laws, policies, regulations and procedures. Each administrator, department head, and department chair is responsible for promoting compliance with this Code and applicable business policies; for informing employees of appropriate training opportunities on laws, policies, regulations and procedures; for ensuring that employees receive ongoing training; and demonstrating compliance within their unit. Each employee is responsible for participating in training and education programs, referring to and complying with laws, policies, regulations and procedures applicable to his or her work.

3. INTEGRITY AND ETHICAL CONDUCT

Ethical conduct is a fundamental expectation for every community member. Community members are expected to work together to maintain the highest standards of quality and integrity in fulfilling our mission. Community members are expected to conduct University business transactions with respect, honesty, accuracy and fairness. We are each personally responsible for our own actions and should strive to communicate ethical standards of conduct through instruction and leading by example.

4. HUMAN RESOURCES

The University is committed to the principles of tolerance, diversity, and respect for differences. When dealing with others, community members are expected to be respectful, fair, civil, and truthful. The University prohibits discrimination and harassment, and provides equal opportunities for community members and applicants.

5. CONFLICT OF INTEREST / CONFLICT OF COMMITMENT

Community members are expected to conduct University business free of personal conflict or appearances of impropriety and self-dealing. Community members with other professional or financial interests are expected to disclose them in compliance with applicable conflict of interest / conflict of commitment policies.

6. ACADEMIC

Creating an atmosphere conducive to providing a quality education is essential to achieving the University's mission. Community members are expected to promote academic freedom and meet academic responsibilities. This includes encouraging discussions of relevant matters and creative expression, to seek and state the truth, and to respect those with differing views, to submit knowledge and claims to peer review; and to work together to foster education of students.

7. RESEARCH

University researchers have an ethical obligation to the University and to the larger global community as they seek knowledge and understanding. Community members are expected to propose, conduct, and report research with integrity and honesty. They should protect human subjects involved in research, the rights of individuals and University intellectual property, and they should humanely treat animals. Community members should ensure the originality of their work and provide credit for the ideas of others upon which their work is built, be responsible for the accuracy and fairness of information published, and fully assign authorship credit.

8. FINANCIAL REPORTING

University accounts, financial reports, tax returns, expense reimbursements, time sheets and other documents, including those submitted to government agencies should be accurate, clear, complete and transparent. Community members should follow University policies and procedures and sound financial practices. Community members are expected to exercise responsible fiscal management and use strong internal controls.

9. **PROTECT AND PRESERVE UNIVERSITY RESOURCES**

The University is dedicated to responsible stewardship. Community members are to promote efficient operations and engage in appropriate accounting and monitoring of University resources. Community members are expected to prevent waste and abuse of University resources. University resources include, but are not limited to, property, equipment, vehicles, finances, materials, systems, data communication and networking services, procurement tools, and the time and effort of staff and students. University resources may not be used for personal gain, and may not be used for personal use except in a manner that is consistent with University policies and procedures.

10. **COMPLIANCE WITH LAWS**

Members of the University community should conduct University business in compliance with applicable laws, regulations, and University policies and procedures. When questions arise pertaining to interpretation or applicability of a policy, contact the individual who has oversight of the policy.

- a) **Contractual Obligations** – The acceptance of an agreement, including sponsored project funding, may create a legal obligation on the part of Southern Illinois University to comply with the terms and conditions of the agreement and applicable laws and regulations. Therefore, only individuals who have authority delegated by an appropriate University official are authorized to enter into agreements on behalf of the University.
- b) **Environmental Health & Safety, including Workplace Health & Safety** – Members of the University community should be committed to protecting the health and safety of University students, faculty, staff, volunteers, and visitors by providing a safe environment. Community members are expected to participate in applicable education sessions, use appropriate personal safety equipment, report accidents, injuries, and unsafe situations, report suspicious activity, and carefully handle hazardous waste.
- c) **Non-University Professional Standards** – Some professions and disciplines represented at the University are governed by standards and codes specific to their profession (such as attorneys, certified public accountants, and medical doctors). Those belonging to such professions are expected to adhere to University policies and codes of conduct in addition to any professional standards. If a community member believes there is a conflict between a professional standard and University policy, he/she should contact the Office of General Counsel.

11. **CONFIDENTIALITY AND PRIVACY**

Community members receive and generate on behalf of the University various types of confidential, proprietary and private information. Community members should understand and comply with federal laws, state laws, agreements with third parties, and University policies and procedures pertaining to the use, protection, disclosure, retention, and disposal of such information.

12. REPORTING OF SUSPECTED VIOLATIONS

- a) **Reporting to Management**— Members of the University community should report suspected violations of applicable laws, regulations, government contract and grant requirements and this Code to the Senior Vice President for Financial and Administrative Affairs and Board Treasurer, Ethics Officer, Compliance Officer, or other University official as designated within existing policies and procedures. The University complies with the Whistle Blower Protection Act (5 ILCS 430/15) and assures community members that possible violations can be reported without fear of retaliation.
- b) **Other Reporting** – Nothing in this Code of Conduct nor related policies limits or alters the obligations of officials and employees to comply with the relevant provisions of the State Officials and Employees Ethics Act (5 ILCS 430/1 et seq.) (“Ethics Act”).
- c) **Cooperation** – Employees are expected to cooperate fully in the investigation of any misconduct.

Attribution

Many major universities have adopted excellent Codes of Conduct. This code incorporates strong language from codes developed by Washington University of St. Louis, Stanford University, Virginia Commonwealth University, and University of Minnesota.

DRAFT 8/10/09
SOUTHERN ILLINOIS UNIVERSITY
CODE OF ETHICS

In carrying out Southern Illinois University's teaching, research, public service, and patient care missions, members of the University community are committed to maintaining high ethical standards, striving for excellence, and complying with relevant laws and regulations. With the encouragement and guidance of the Board of Trustees, a University Code of Ethics and a University Code of Conduct have been created. The Code of Ethics forms the ethical principles that will guide all members of the University community in all decisions and activities.

The Code of Ethics applies throughout the entire SIU System and at all levels of the organization, including, but not limited to, the Board of Trustees and all employees.

These principles are:

Respect. We will nurture a climate of care, concern, fairness, and civility towards others while recognizing and embracing each individual's dignity, freedom and diversity.

Honesty and Integrity. We will act and communicate truthfully. We will make decisions based on the greater good, conducting ourselves free of personal conflicts or appearances of impropriety and self-dealing.

Cooperation and Communication. We will work together to support our institutional missions. We will share information, within confidentiality requirements, with stakeholders regarding the process used in developing policies and making decisions for the University.

Stewardship. We will use University resources in a wise and prudent manner in order to achieve our teaching, research, public service and patient care missions. We will not use University resources for personal benefit or gain. We will protect the integrity and security of confidential, proprietary and private information such as student and patient records.

Continuous Improvement. We will conduct University affairs diligently, exercising professional care and striving to meet the high expectations we have set for ourselves as well as the expectations of those we serve.

Responsibility. We will be trustworthy and responsible for our conduct, decisions and obligations and will comply with all applicable laws, regulations, policies and procedures.

Accountable and Transparent. We will maintain accurate financial records and distribute them in a timely and transparent fashion.

Reporting Violations and Nonretaliation. We will report unethical conduct to appropriate authorities. We will not retaliate against anyone for making such reports.

The Southern Illinois University Code of Conduct is based on these guiding principles. All members of the University community should integrate the Code of Ethics' principles and the Code of Conducts' standards into their daily University activities.

Nothing in this Code of Ethics nor related policies limits or alters the obligations of officials and employees to comply with the relevant provisions of the State Officials and Employees Ethics Act (5 ILCS 430/1 et seq.) ("Ethics Act").

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Many major universities have adopted excellent Codes of Ethics. This code incorporates strong language from codes developed by Radford University and Washington University of St. Louis.