

VALUES & ETHICAL RESPONSIBILITIES

POLICY NUMBER: RESERVED FOR FUTURE USE

POLICY TYPE: HYBRID - ACADEMIC/ADMIN

RESPONSIBLE OFFICIAL TITLE: PRESIDENT

RESPONSIBLE OFFICE: PRESIDENT

EFFECTIVE DATE:4/29/2016

NEXT REVIEW DATE: 4/29/2020

SUPERSEDES POLICY DATED: 3/1/2014

REQUIRES LEGAL/COMPLIANCE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) YES NO

REQUIRES I.T. POLICY COUNCIL REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) YES NO

REQUIRES PROFESSIONAL CONCERNS COMMITTEE REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) YES NO

REQUIRES HUMAN RESOURCES REVIEW:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) YES NO

REQUIRES BOARD OF REGENTS APPROVAL:

(PER SECTION V. OF THE APPROVED POLICY REQUEST FORM) YES NO

I. POLICY STATEMENT

Northern Kentucky University (NKU) is entrusted with resources by students, parents, taxpayers, sponsors, alumni, donors, and other constituencies with the responsibility to fulfill our educational mission. This trust and responsibility require a commitment to ethical standards to assure others that our activities are executed to serve the mission of the university. This policy documents value and ethical standards at NKU.

II. ENTITIES AFFECTED

Faculty, staff and administration, members of the Board of Regents, any individual employed by the university, using university resources or facilities, receiving funds administered by the university and other representatives when speaking or acting on behalf of NKU. These individuals may be referred to as “community members.”

III. CORE VALUES

The NKU community is committed to these core values:

- Excellence
- Integrity
- Inclusiveness
- Innovation
- Collegiality

As a reflection of these core values, NKU Community Members strive to behave ethically, and with integrity and common sense, at all times. University community members seek to fulfill obligations towards students, co-workers and other members of the university community with honesty and transparency, and to behave according to the highest ethical and professional standards of conduct. NKU is committed to tolerance, inclusion and respect for others, regardless of differences. All members of the NKU community strive to treat

others with professional courtesy and civility, regardless of position or status, and to work cooperatively with others. University community members seek to promote equality and collaboration among faculty, staff and administrators. NKU provides equal access to programs, facilities and employment; and seeks to foster positive campus change through greater diversity, equity, inclusion and accountability.

IV. ETHICAL RESPONSIBILITIES

In addition to following these guidelines, the faculty, staff, administrators, student-workers, members of the Board of Regents, and other affiliated individuals in conducting the affairs of NKU will comply with all federal, state and local laws and regulations as well as university policies, procedures, and codes in the performance of job-related duties. The values, principles and standards of conduct in this policy are supported through university policies, procedures and guidelines and provide guidance for making decisions as well as document NKU's commitment to responsible and ethical behavior.

All NKU faculty, staff, administrators, and members of the Board of Regents who are members of occupations or professions that have established standards or codes of ethics shall, in addition to the responsibilities referenced in this document, be bound by the standards of conduct and/or codes of ethics that apply to such occupations or professions.

The university and community members have the following ethical responsibilities:

Manage Responsibly

University community members who supervise, instruct and/or advise faculty, staff and student workers are entrusted with significant responsibility. Those university community members are expected to:

- Foster an environment of transparency and integrity.
- Ensure compliance with applicable laws, policies, regulations and workplace rules;
- Evaluate performance impartially and conscientiously;
- Ensure access to and delivery of proper training on applicable workplace and educational rules, laws, policies and procedures (including these principles);
- Foster opportunities for intellectual growth and professional development both on and off campus;
- Promote a productive, innovative and professional atmosphere that encourages dialogue and is responsive to concerns; and
- Avoid making unreasonable job demands.

Protect and Preserve University Resources

University members are responsible for integrity in the stewardship of resources entrusted to us and are expected to:

- Exercise responsible and ethical behavior regarding stewardship of university resources;
- Protect university property, equipment, data and other assets of the university;
- Prevent waste, abuse and misuse of university resources;
- Follow guidelines, procedures and/or manuals regarding the use of financial assets, including university procurement cards;
- Comply with government grants and contract terms and conditions;
- Follow sound financial practices, including accurate financial reporting, controls and processes to protect assets and responsible fiscal management; and
- Engage in appropriate accounting and monitoring.

Promote a Culture of Compliance

NKU is committed to meeting legal requirements as well as fostering a culture of ethics and compliance.

University community members are expected to:

- Be aware of, understand and comply with laws, regulations, contracts and university policies and procedures applicable to their duties
- Seek to prevent, detect and report suspected compliance violations to the appropriate university official. Supervisors will ensure that reports of violations within their area of responsibility are properly resolved, including disclosure to any authority as appropriate; and
- Participate in mandatory education opportunities available to faculty, staff, administrators and student-workers.

NOTE – No employee is permitted to engage in retaliation, retribution, adverse employment consequences or any form of harassment against an individual for a good faith report of misconduct or other ethics or compliance-related concern, or participation in an investigation of a good faith report of misconduct, ethics or compliance-related concern or retaliation.

Preserve Academic Freedom and Meet Academic Responsibilities

Academic freedom is essential to NKU's mission. University community members are expected to:

- Encourage students in the free pursuit of learning;
- Demonstrate respect for the student as an individual, adhere to the proper role as an intellectual guide and advisor, make every effort to foster honest academic conduct, and assure that the evaluation of students reflects their true merit;
- Respect the confidential nature of the relationship between professor and student;
- Avoid exploitation of students for private advantage and acknowledge significant assistance from them;
- Promote academic freedom, including the freedom to discuss relevant matters in the classroom, with fellow NKU community members, and with the public. Academic freedom includes the freedom to explore all avenues of scholarship, research and creative expression, to participate in the shared governance of the University, and to speak and write as a public citizen without institutional restraint;
- Accept his/her share of responsibilities for the governance of the university; and
- Where appropriate, assist the university in meeting its public engagement mission.

The freedom of speech of community members includes the freedom to express their views on matters having to do with their institution and its policies. This freedom should be accorded – and rights to it protected – because grounds for thinking an institutional policy desirable or undesirable must be heard and assessed if the community is to have confidence that its policies are appropriate. The faculty protection for Academic Freedom is described in Section III, Items A-D, in the Faculty Policies and Procedures Handbook, which is incorporated herein by reference.

Teach and Conduct Research Ethically

University researchers have an obligation to the university, and the larger global community as they seek knowledge and understanding. University community members are expected to:

- Propose, conduct and report research honestly and with integrity;
- Adhere to the practical and ethical professional standards appropriate to a discipline in order to protect people and appropriately care for animals in the context of teaching;

- Protect the welfare and dignity of human participants and properly care for animals in compliance with current federal regulations and NKU Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and/or Institutional Biosafety Committee (IBC) policies in the context of research. Individuals uncertain about whether a teaching or research activity is governed by federal guidelines and NKU IRB, IACUC, and/or IBC policies can contact the NKU Office of Research Compliance for guidance;
- Faithfully transmit research findings;
- Refrain from engaging in copyright infringement or plagiarism;
- Ensure originality of work, provide credit for the ideas of others upon which their work is built;
- Be responsible for the accuracy and fairness of published information; and
- Truthfully report authorship.

Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution. Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject.

Avoid Conflict of Commitment and Interest

University community members have a responsibility to maintain objectivity and impartiality when making decisions on behalf of NKU. To ensure objectivity, community members are expected to:

- Base decisions on judgment free from conflicting interest;
- Avoid conduct that may in any way lead members of the general public to conclude that he or she is using an official position to further professional or private interests or the interests of any members of his or her family;
- When conducting or participating in any transaction, disclose any real or perceived conflict with personal interests and remove himself or herself from further participation; and
- Ensure personal relationships do not interfere with objective judgment in decisions affecting university employment and/or the academic progress of a community member.

Carefully Manage Public, Private and Confidential Information

University community members are the creators, custodians and stewards of many types of information, much of which is confidential. Access to this data and the individual's right to privacy are governed by both laws and university policies. In order to meet our responsibilities, university community members are expected to:

- Learn and follow laws, regulations and university policies regarding access, use, protection, disclosure, retention and disposal of public, private and confidential information;
- Follow document retention and disposal guidelines;
- Maintain data security using electronic and physical safeguards;
- Protect data quality and integrity;
- Ensure that data provided to the university community and other entities is accurate and consistent; and
- Provide information as needed for other community members to adequately perform job duties.

Promote Health and Safety in the Workplace

All university community members have a shared responsibility to ensure a safe, secure and healthy campus for all faculty, staff, students, volunteers and visitors. University community members are expected to:

- Follow federal and state safety laws and university policies and practices, including: participating in appropriate education, using appropriate personal safety equipment, and reporting accidents, injuries and unsafe situations promptly;
- Maintain security, including securing university assets and facilities;
- Report suspicious activities and suspected abuse; and
- Protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials or conditions.

V. ANNUAL ACKNOWLEDGEMENT

Understanding your responsibilities as a member of the NKU community is important in maintaining ethical standards across campus and ensuring compliance with federal and state laws.

Annually, all faculty members, staff members, administrators, and Members of the Board of Regents will acknowledge their awareness and understanding of this policy

VI. VIOLATIONS OF THIS POLICY

Any individual found to have violated policies set forth in Section IV of this policy may be subject to discipline up to and including termination of employment and criminal prosecution. Any adverse employment action shall be taken only pursuant to applicable institutional handbooks, policies and procedures.

VII. NON-DISCRIMINATION STATEMENT

Northern Kentucky University does not discriminate based on national origin, race, color, age, gender, gender identity, gender expression, sexual orientation, religion, physical or mental disability, genetic information, pregnancy, and Uniform Service or veteran status in its education programs, activities, employment, daily operations or admissions policies, in accordance with all applicable federal, state and local laws. NKU will not tolerate retaliation against any individual who makes a good faith report of a violation.

VIII. REPORTING SUSPECTED ETHICAL OR COMPLIANCE VIOLATIONS

All faculty, staff and administrators have an obligation to report conduct that violates our Ethical Standards. Examples of violations that should be reported include but are not limited to:

- Fraud, waste, abuse or misuse of university resources
- Financial misconduct/wrongdoing
- Violation of federal law, state law, university policy or procedure
- Ethics and/or compliance violations
- Research misconduct
- Harassment

Violations can be reported to:

- Your supervisor
- [Financial and Operational Auditing](#)
- [Compliance and Institutional Ethics](#)
- [Ethics and Compliance Helpline](#)

The NKU Ethics and Compliance Helpline is administered by a third-party and is available 24 hours a day, 7 days a week, 365 days a year. Reports can be made anonymously.

Website: www.nku.ethicspoint.com

Toll-Free Telephone: 1-855-597-4539

NOTE – The helpline is NOT a 911 or emergency service. If you need immediate assistance, contact 911 or university police at 859-572-7777.

IX. REFERENCES AND RELATED MATERIALS

REFERENCES & FORMS

- [Faculty Handbook \(Full-Time\)](#)
- [Faculty Handbook \(Part-Time\)](#)
- [Chase Faculty Handbook](#)
- [Code of Student Rights and Responsibilities](#)
- [Chase Student Handbook](#)
- [Graduate Student Honor Code and Appeals Policy](#)

RELATED POLICIES

- [Intellectual Property](#)
- [Sexual Misconduct](#)
- Reporting Misconduct and Prohibition of Retaliation

REVISION HISTORY

REVISION TYPE	MONTH/YEAR APPROVED
New Policy	7/1981
Revision	7/2005
Revision	3/2014
Revision	4/2016
Choose an item.	
Choose an item.	
Choose an item.	

VALUES & ETHICAL RESPONSIBILITIES

APPROVALS

PROFESSIONAL CONCERNS COMMITTEE/FACULTY SENATE REVIEW

CHAIR, PROFESSIONAL CONCERNS COMMITTEE/FACULTY SENATE

SEE ATTACHED MEETING MINUTES

4/29/2016

Signature

Date

Ken Katkin

Printed Name

PRESIDENTIAL APPROVAL

PRESIDENT

SEE ATTACHED MEETING MINUTES

4/29/2016

Signature

Date

Geoffrey S. Mearns

Printed Name

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)

This policy WAS NOT forwarded to the Board of Regents.

This policy WAS forwarded to the Board of Regents.

The Board of Regents approved this policy on 04/29/2016.

(Attach a copy of Board of Regents meeting minutes showing approval of policy.)

The Board of Regents rejected this policy on ____/____/____.

(Attach a copy of Board of Regents meeting minutes showing rejection of policy.)

POLICY COORDINATOR



6/27/2016

Signature

Date

Justin M. Duncan

Printed Name

FACULTY SENATE MEETING

February 29, 2016

Members present: Tracey Adams, Shannon Alexander, Michael Baranowski, Diana Belland, Janel Bloch, Richard Boyce, Perry Bratcher, Carol Bredemeyer, Brooke Buckley, Teuta Cata, Kim Clayton-Code, Steve Crites, Jacqueline Emerine, Irene Encarnacion, Sean Foley, Richard Fox, Morteza Sadat-Hossieny, Doug Hume, Stephen Johnson, JC Kim, Ken Katkin, Tonya Krouse, Kajsa Larson, Marc Leone, Lili Ma, Yaw Frimpong-Mansoh, Cecile Marczinski, Joe Mester, Phil McCartney, Melissa Moon, Tamara O'Callaghan, Jeanne Pettit, Gabe Sanders, Tracey Sigler, Laura Sullivan, Sharon Vance, Mark Wasicsko, Matthew Zacate

Members absent: Ronnie Chamberlain, Mary Kirk, Jennifer Kinsley, Trina Koscielicki, Catherine Neal, Louise Niemer, David Raska, Ron Shaw

Guests: Geoffrey Mearns, Sue Ott Rowlands, Ken Rhee, Will Weber, Jason Faulkner, Carole Ziegler, Steven Weiss, Phil Moberg, Diane Williams, Alar Lipping, Idna Corbett, Grace Hiles

The meeting was called to order by Senate President Michael Baranowski at 3:00 pm with a quorum present. The minutes of the January 25, 2016 meeting were approved.

Presentations:

- **2016-17 Budget Process** (President Mearns, Sue Hodges Moore – Senior VP Admin./Finance, Provost Sue Ott Rowlands, Mike Hales, Chief Financial Officer)
 - A PowerPoint presentation was distributed to the Senate prior to the meeting. This budget process presentation is being made several times across campus to various constituencies (Chairs, Deans, Staff Congress, Faculty Senate, 2 open forums)
 - Several factors will influence the final budget – most importantly decisions made at the state government levels. At this point, the following are *assumptions*:
 - Enrollment will drop 2%
 - 4% tuition increase
 - Salary increase of 2%
 - State approval of funding disparity (increase of \$5.3M each of the next 2 fiscal years)
 - 9% cut across the two fiscal years (\$4.5M each FY)
 - Units across campus are performing two budget reduction exercises (one assuming a 4% reduction, another a 6% reduction).
- **Emergency Preparedness Update** (Sue Hodges Moore, John Gaffin – NKU Police Dept. Leut., Syed Zaidi – Assoc. VP Facilities Mgt., Kelly Martin – Assoc. VP Marketing/Communication)
 - The Emergency Preparedness Committee first convened in September 2015 to examine the University's communications protocols in emergency situations. This committee consisted of members from Academic Affairs, Administration and Finance, Student Affairs, University Advancement, General Counsel, faculty, the student body and local first responders. The report given to Faculty Senate is an effort to provide transparency for the actions of this group. Two documents were previously distributed to the Senate: Emergency Notification Protocol, and an Emergency Preparedness Update. Highlights of these documents included:
 - **Emergency Preparedness Update:**

- Description of Committee
- Emergency notification protocol
- Emergency Communications Plan
- Norse Alert Opt-out
- RedMan/Alice training
- Building emergency action plan
- Response drill
- **Emergency Notification Protocol:**
 - Purpose
 - Communications channels
 - Intended use
 - Confirmation of dangerous situations
 - Authorization of emergency notifications
 - Status updates and all-clear messages

Guest Reports:

- **Provost** (Sue Ott Rowlands):
 - New budget model presentation for the College of Arts and Sciences will take place soon – anyone may attend
 - The Office of Research Grants and Contracts area will undergo review by an outside consultant on 3/30-31 in order to discover means of improving service.
 - The Center for Teaching and Learning will work on initiatives beginning this fall after a clearer budget picture for this area is finalized
- **Faculty Regent** (Rick Boyce):
 - The next Board of Regents meeting is at 9 am March 16.
 - Regents will be working with the Education Advisory Board to review cost vs. quality of academic programs
- **General Education Committee** (Steven Weiss):
 - The Committee recently sponsored a town hall meeting primarily addressing assessment of the D1 student learning outcome. Discussion included the process, description of the pilot project, assessment and the development of a template for moving forward.

Committee Reports:

- **University Curriculum Committee** (Richard Fox):
 - The deadline for submitting curriculum changes to the fall catalog is the end of March.
 - Due to several concerns, the Academic and Admissions Policy Committee has withdrawn its Out of Sequence Transfer Credit Policy from consideration.
 - A dual degree program will be brought forward for consideration to the next Senate meeting.
- **Benefits** (Matthew Zacate):

- A subcommittee of the Benefits Committee has been formed to review faculty and staff use of the tuition waiver benefit.
- A health care survey will be distributed to faculty mid-week. This survey will give the committee information for reviewing RFPs of health care providers later this semester.
- **Budget (Janel Bloch):**
 - The narrative report for the Fall 2015 Faculty Senate Budget Survey is now available on the Budget Committee's website:
<http://facultysenate.nku.edu/content/dam/facultysenate/docs/facultysenatecommittee/s/Budget/2015%20budget%20priorities%20survey%20narrative%20final.pdf>
 - As a response to the results of the survey, a focus on the analysis of faculty salary issues including inversion, compression and equity will take place.
 - Also as a response to the survey, an analysis will be made regarding technical resources available for faculty.
- **Teaching Effectiveness and Enhancement Committee (Ken Rhee):**
 - Upcoming Brown Bag sessions:
 - Mindfulness and Renewal (3/16 UC 414 noon-1:30)
 - Upcoming Faculty Workshops:
 - Broadening Students' Horizons: Cultivating Multiple Perspectives, Social Objectivity, and Global Thinking (4/6 2-4pm AC 722, 2/7 2-4pm, AC 722)
 - Reviewing the course evaluation process and how it is used.
 - TEEC Newsletter soon to be released.
 - Working on gathering tools to provide more effective student feedback.

Old Business:

- **NKU Values and Ethical Responsibilities document** (Ken Katkin – Chair, Professional Concerns Committee). The draft document approved by the PCC was brought forward for consideration. Phil McCartney brought forward seven suggested amendments to the document – these were previously discussed and approved by the PCC. One of these amendments was changed at today's meeting. Final wording for the amendments were:
 - Amendment 1 (paragraph #1 on p.2):
 - The values, principles and standards of conduct in this policy are supported through university policies, procedures and guidelines that provide guidance for making decisions consistent with NKU's commitment to responsible and ethical behavior.
 - Amendment 2 (bullet point #2 on p.3):
 - Participate in mandatory education opportunities required of faculty, staff, administrators and student-workers.
 - Amendment 3 (bullet point #2 on p.3 under the "Preserve Academic Freedom and Meet Academic Responsibilities" heading):
 - Demonstrate respect for the student as an individual, make every effort to foster honest academic conduct, and assure that the evaluation of student work reflects that work's true merit.
 - (Add as another bullet point): Accurately evaluate the professionalism of other members of the university community when writing letters of recommendation or otherwise providing input regarding the manner in which individuals carry out responsibilities expected of or entrusted to them.

- Amendment 4 (sentence #1 in the last paragraph on p. 3 under the heading “Preserve Academic Freedom and Meet Academic Responsibilities”):
 - The freedom of speech of community members includes the freedom to express their views on matters having to do with their institution and its policies. NOTE: The original wording of the suggested change was “The academic freedom of community members....”. The Senate approved the change in wording at the meeting.
- Amendment 5 (sentence #1 on p. 3 under the heading “Teach and Conduct Research Ethically”):
 - University community members have an obligation to the university, and the larger global community as they seek knowledge and understanding. University community members are expected to:
- Amendment 6 (last sentence on p. 4 under the heading “Teach and Conduct Research Ethically”):
 - Teachers are entitled to freedom in the classroom in discussing their subject.
- Amendment 7 (second bullet point under the heading “Avoid Conflict of Commitment and Interest”):
 - Refrain from using their official position to inappropriately further professional or private interests or the interests of any members of their family;
- All amendments above were approved. The Senate also approved the entire document with the amendment changes.

New Business:

- **Discussion items** (Ken Katkin, Professional Concerns Committee) – the following four items were brought forward for discussion. The PCC will take discussion items into consideration. Voting on these items will take place at the next Faculty Senate meeting:
 - Clinical Faculty
 - Professors of Practice (includes Artist-, Poet-, Scholar-, Writer-in-Residence)
 - Modified Duties
 - Part-time Faculty Appointments

The meeting was adjourned at 4:50 pm.

Respectfully Submitted,

Perry Bratcher
Secretary

RECOMMENDATION:

That the Board of Regents approve the proposed addendum to the Values and Ethical Responsibilities Statement.

BACKGROUND:

In April 2016, the Board of Regents approved revisions to the Values and Ethical Responsibilities Statement. The Board of Regents deleted one paragraph from the document because of concerns with a possible conflict with an existing policy. Since the April 2016 Board meeting, the Faculty Senate Professional Concerns Committee and the Staff Congress have approved the following language to replace the previously deleted paragraph.

The freedom of speech of community members includes the freedom to express their views on matters having to do with their institution and its policies. This freedom should be accorded – and rights to it protected – because grounds for thinking an institutional policy desirable or undesirable must be heard and assessed if the community is to have confidence that its policies are appropriate. ~~Protecting the academic freedom on campus requires ensuring that a particular instance of faculty speech will be subject to discipline only where that speech violates some central principle of academic morality, as, for example, where it is found to be fraudulent (academic freedom does not protect plagiarism and deceit). Protecting academic freedom also requires ensuring that faculty status turns on a faculty member's views only where the holding of those views clearly supports a judgment of competence or incompetence. The faculty protection for~~ Academic Freedom is described in Section III, Items A-D, in the Faculty Policies and Procedures Handbook, which is incorporated herein by reference.

The red line document reflects the changes to the April 2016 proposed paragraph that was deleted by the Board of Regents. Upon approval, this new paragraph will be inserted into the Values and Ethical Responsibilities statement in the section and location where the previous paragraph was deleted.