Ethics
Ethics

The following core principles guide decisions and behavior at the University:

- Integrity
- Academic excellence and freedom
- Mutual respect and human dignity
- Diversity of thought, culture, gender, and ethnicity
- Personal and institutional responsibility and accountability
- Shared governance
- A sense of community
- Sensitivity to work-life concerns
- Civic responsibility
The University’s Code of Conduct governs the following areas:

- Confidentiality of information
- Use of the University’s name
- Use of University resources
- Personal relationships
- Employment of relatives
- Use of intellectual property
- Conflicts of Interest
- Acceptance of gifts and benefits
Ethics – Principles & Code of Conduct

Ethical Principles

Governs our relationships with colleagues, trustees, students, volunteers, contractors, and the public.

Document provides UK’s core values, guide our decisions and behavior, as follows:

- Integrity;
- Academic excellence and freedom;
- Mutual respect and human dignity;
- Diversity of thought, culture, gender, and ethnicity;
- Personal and institutional responsibility and accountability;
- Shared governance;
- A sense of community;
- Sensitivity to work-life concerns; and
- Civic responsibility.
Ethics – 10 General Ethical Principles

Each member of the University must endeavor to:

1. Promote the best interests of the University of Kentucky.
2. Foster the Vision, Mission, and Values of the University.
3. Preserve the public’s respect and confidence in the University of Kentucky.
4. Exhibit personal integrity, honesty, and responsibility in all actions.
5. Provide an environment of mutual respect, impartiality, and collaboration.
6. Maintain confidentiality in all matters deemed confidential.
7. Assure independence of judgment free from conflicting interests.
8. Ensure that relationships that constitute or could be perceived as conflicts of interest are fully and properly disclosed and University guidelines are followed.
9. Comply with the policies and procedures of the University of Kentucky and applicable state and federal laws and regulations.
10. Demonstrate stewardship of University property and resources.
Ethics – Code of Conduct

Purpose of Code of Conduct: to maintain the public’s trust in the integrity of the University and to act compatibly with their obligation to the University.

Establishes guidelines for professional conduct for University members, including trustees, executive officers, faculty, staff, and other individuals employed by the University, those using University resources or facilities, and volunteers and representatives acting as agents of the University (collectively “University members”).

Not applicable to students.

Violations of this code will be subject to appropriate penalties.
Ethics – Nondiscrimination Policy

Equal opportunities shall be provided for all persons throughout the University in recruitment, appointment, promotion, payment, training, and other employment practices without regard to sex, sexual orientation, race, ethnic origin, national origin, color, creed, religion, age, uniform service or veteran status, physical or mental disability, or political belief. All University members are expected to comply with the institution’s nondiscrimination policy (Governing Regulation XII).
Ethics – Confidentiality of Information

University members are entrusted with personal and institutional information that should be treated with confidentiality and used only for conducting University business. Respect for individual and institutional privacy requires the exercise of care and judgment. Unless required or permitted by law or University regulations, personal and official information provided by and about faculty, staff and students must not be given to third parties without the consent of the individuals concerned. When doubt exists regarding the confidentiality of information, University members should presume information is confidential until determined otherwise.
Ethics – Use of the University’s Name

University members may not use or allow the use of the name of the University, or identify themselves as employees of the University of Kentucky in the public promotion or advertising of commercial products without prior written approval.

Individuals writing or speaking publicly in a professional or expert capacity must take care to emphasize that any views expressed are their own and are not representative of the University of Kentucky.

Where University members comment publicly as part of their official University duties, they should do so using University stationery and e-mail accounts.

When commenting as citizens, University members must use personal stationery and personal e-mail accounts.
University members should be responsible stewards of University resources.

Limited personal use of fixed University resources, such as computers and telephones, which does not result in a charge to the University is permitted as long as the use does not interfere with assigned job duties.

University equipment is permitted but such use must have the prior, written approval from the dean or appropriate administrator, provided that the University will be reimbursed for the full cost of the use of the equipment.

Limited personal use shall not interfere with the University of Kentucky’s uses, and occur outside of the University member’s regular employment assignment.
Ethics – Sexual Harassment

To foster an environment of respect for the dignity and worth of all members of the University community, the University is committed to maintain a work-learning environment free of sexual harassment. The policy of the University of Kentucky, approved by the Board of Trustees, prohibits sexual harassment of students, faculty and staff, and assures that complaints of sexual harassment will be treated and investigated with full regard for the University’s due process requirements. The University policy and procedures on sexual harassment can be found in *Governing Regulation XII and Administrative Regulation II-1.1-9*. 
Ethics – Personal Relationships

The critical concern is that personal relationships, whether positive or negative, should not inappropriately or unfairly affect decisions.

Conflicts of interest may arise when people are involved in making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships.

Decisions affecting present or former business partners should also be avoided. Individuals with personal relationships should excuse themselves from such decision-making.

If one of the parties in a relationship has the responsibility for evaluating the performance of the other person, the relationship must be reported (*Administrative Regulation II-1.1-9*).
Ethics – Personal Relationships and Extension Councils and District Boards

The Director of Cooperative Extension has determined that spouses or immediate family members of extension agents or staff should not serve on Program Councils, County Extension Councils, County District Boards or any other local council that has oversight, provides input, makes policy or expends funds affecting the corresponding agent or staff person.
Ethics – Employment of Relatives

No relative of the President shall be employed in a position at the University.

No relative of the Provost, or any executive vice president, vice president, or any associate provost or associate vice president shall be employed in a position in that officer’s administrative area.

No relative of any employee of the University may be appointed to any position in the University over which the related employee exercises supervisory or line authority.

Employment of relatives within the same department or division shall be approved specifically.

Members of the Board of Trustees, except those elected to the Board as faculty, staff, or student representatives, and relatives of any member of the Board of Trustees are ineligible for employment at the University.
University members should be responsible stewards of University resources. All intellectual property conceived, first reduced to practice, written, or otherwise produced by faculty, staff, or students of the University of Kentucky using University funds, facilities, or other resources shall be owned and controlled by the University. Any member of the faculty or staff of the University who produces such intellectual property using University funds, facilities, or other resources shall assign personal rights to the property to the University, or its designate. The traditional products of scholarly activity which have customarily been considered the unrestricted property of the originator, such as journal articles, textbooks, reviews and monographs, and which have been created without involving a material use of University resources, shall be the unrestricted property of the author (Administrative Regulation II-1.1-3).
Faculty and professional administrative employees are expected to devote their primary professional loyalty, time, and energy to University of Kentucky teaching, research and service endeavors.

A conflict of commitment generally occurs when the pursuit of outside activities interferes with obligations to students, to colleagues and to the missions of the University.

A staff employee may be employed outside the University

- when the employment does not constitute a conflict with University interests, or
- when the hours of outside employment do not coincide or conflict with hours of scheduled work or affect the employee’s ability to perform satisfactorily.
- A staff employee may also perform outside employment while on vacation, holiday, or special leave as long as the outside employment does not constitute a conflict of interest.
Confidence in the University of Kentucky is put at risk when the conduct of University members does, or may reasonably appear to, involve a conflict between private interests and obligations to the University.

Full disclosure of any real or perceived conflict with personal interests and removal from further participation is required.

It is essential that potential conflicts be disclosed and reviewed by the University.

Many factors often will need to be considered to determine whether a conflict of interest exists.
Ethics – Financial Advantage

Official position or office shall not be used to obtain financial gain or benefits for oneself or members of one’s family or business associates.

Purchases and contracts shall not be made with an employee of the University of Kentucky for any item of supply, equipment, or service, nor may an employee have any interest, directly or indirectly, in any purchase made by the University of Kentucky.

Exception to KRS with specific approval of Board of Trustees.
Ethics – Auditing Services

To effectively discharge their fiduciary and administrative responsibilities, the University’s administration and the Board of Trustees are assisted by internal and external (independent) auditing services.

These services provide independent, objective assurances and consulting services with respect to evaluating risk managements, control and governance processes.

It is a violation of University policy to mislead or give false information to or intentionally omit material facts from internal or external (independent) auditors.
Ethics – Acceptance of Gifts or Benefits

No member should accept any type of reward, monetary or non-monetary, if there is an explicit or implicit assumption that influence has been exchanged for the favor. When no favor is asked for or gained, gifts of nominal value or moderate acts of hospitality, such as meals, in relation to one’s position with the University may be accepted. The following guidelines should be observed:

- Gifts or acts of hospitality valued up to $50 annually from any one source need not be reported.

- Gifts or acts of hospitality valued between $50 to $200 should be reported to the supervisor prior to acceptance.

- Acts of professionally related hospitality above $200 must be specifically justified and reported through the chain of command. Written approval for acceptance must be provided by the Provost or executive vice president, in advance.

- Individuals may not accept gifts valued above $200. These gifts or benefits acknowledged and accepted on behalf of the University should be directed to the Executive Vice President for Finance and Administration.