

A
HANDBOOK
FOR
GOOD
ETHICAL
PRACTICE

Ethics

AT THE
UNIVERSITY OF
ILLINOIS
SIXTH EDITION

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Throughout *A Handbook for Good Ethical Practice at the University of Illinois*, the light bulb references the “Thinking About Ethics” page number for related scenarios.

Ethics have been instrumental in defining individuals throughout history. Some of our greatest leaders have relied heavily on ethics as the platform for their actions. Today, as a result of many public scandals in business and government alike, ethics have assumed a more prominent position in the workplace. Heightened public scrutiny has resulted in the creation of laws and policies to address and define ethics in practice.

A Legendary Story on Ethics

When George Washington was about six years old, he was made the wealthy master of a hatchet of which, like most little boys, he was extremely fond. He went about chopping everything that came his way.

One day, as he wandered about the garden amusing himself by hacking his mother's pea sticks, he found a beautiful, young English cherry tree, of which his father was most proud. He tried the edge of his hatchet on the trunk of the tree and barked it so that it died.

Some time after this, his father discovered what had happened to his favorite tree. He came into the house in great anger, and demanded to know who the mischievous person was who had cut away the bark. Nobody could tell him anything about it.

Just then George, with his little hatchet, came into the room.

“George,” said his father, “do you know who has killed my beautiful little cherry tree yonder in the garden? I would not have taken five guineas for it!” This was a hard question to answer, and for a moment George was staggered by it, but quickly recovering himself he cried: “I cannot tell a lie, father, you know I cannot tell a lie! I did cut it with my little hatchet.”

The anger died out of his father's face, and taking the boy tenderly in his arms, he said: “My son, that you should not be afraid to tell the truth is more to me than a thousand trees! Yes – though they were blossomed with silver and had leaves of the purest gold!”

The concept of ethics is not new. In fact, ethics was taught as a subject in schools dating back to early American history.

On a similar note, the concepts provided in the *State Officials and Employees Ethics Act* (Ethics Act), which you will read about later in *A Handbook for Good Ethical Practice at the University of Illinois*, are not new to the University of Illinois (University).

Ethics are an integral part of this University's culture and its rich history, which helps to define and support the reputation of this great institution.

How This Handbook Can Help You

Apply ETHICS in every aspect of your life to attain the RESPECT and TRUST of others. Keep in mind the VALUES this institution represents, and act with INTEGRITY and HONESTY at all times when representing the University of Illinois. Together, we can achieve great RESULTS.

A Handbook for Good Ethical Practice at the University of Illinois (Handbook) compiles the core elements of the University's ethics program. It provides an overview of the policies that guide conduct at the University and is meant to complement policies and guidelines already established.

Personal values and ethics have a University-wide impact. The goal of the *Handbook* is to help you recognize potential ethical dilemmas, identify key contacts, and locate available resources.

While reading the material and understanding the content will not necessarily change the ethical culture, it is our hope that this handbook will help you to more effectively identify potential ethical dilemmas and key contacts for reporting your concerns.

Besides the specific information provided within each page on selected topics, additional detail on the various policies outlined throughout the *Handbook* is available from the departments and resources referenced on pages 35-37. This *Handbook* is by no means an all-inclusive listing of the multitude of rules and guidelines for University employees and representatives and should be treated as a reference only.

Many University of Illinois business functions are campus-based, and as a result, require a high degree of cooperation within and across the three campuses and University administration. Although some functions, such as purchasing and payroll, remain centralized within University administration, the University organization is largely decentralized.

This means responsibility has been delegated to individual units for many administrative processes and procedures. University policies and procedures, such as those outlined here, enable the University to operate efficiently and cooperatively as one organization, while meeting individual unit goals.

Individuals representing or acting on behalf of the organization must ensure policies and procedures are followed when conducting University business. As an employee or person acting on behalf of the University, you are responsible for adhering to these policies and procedures and should be familiar with them.

If you become aware of activities inconsistent with ethical standards,

contact the University Ethics Office, your supervisor, or other management for further assistance. Concerns of potential unethical behavior or ethics training questions should be directed to the University Ethics Office. A more complete listing of contacts is available on pages 35 and 36 – *Getting Help*. Additionally, suggested contacts are provided throughout the *Handbook* where common examples are presented.

Using the Handbook

The University Ethics Office has put together this *Handbook* to guide our employees and those acting on behalf of the University, and to enable them to act with Respect, Trust, Honesty, and Integrity. These are Values we have identified as crucial elements in defining Ethics at the University and producing the desired Results; be it in our teaching, publications, accounting, internal and external interactions, or the central functions that allow this institution to remain a role model for its peers. Please familiarize yourself with the content of this *Handbook* and use it as a reference.



Mission

To be a partner, educator, and source of specialized guidance for the employees of the University while joining with leaders of the University to promote compliance and the stewardship of University resources and other assets.

Purpose

The University Ethics Office is one central unit serving the entire University community. This provides a unique opportunity to utilize a multitude of resources across the organization.

To help meet University goals and state and federal requirements, the University Ethics Office is designed to reduce unethical or illegal behavior of University employees, while improving:

- ◆ employee decision making
- ◆ employee commitment
- ◆ the University work environment
- ◆ the University's reputation and image

Toll-free Ethics Help Line

866-758-2146

The Toll-free Ethics Help Line is a resource for all University faculty, staff, volunteers, contractors, appointees, and students to ask questions, raise issues, seek advice, and report concerns related to questionable conduct and ethical dilemmas.

You may make reports anonymously. However, it may be useful to obtain additional information from you to conduct a more thorough review.

University Ethics Office Web Site

www.ethics.uillinois.edu

The University Ethics Office web site contains an electronic copy of this *Handbook*, information on the *Statement of Economic Interests* form, copies of ethics-related legislation, links to the annual ethics training program (pages 10-11 in this *Handbook*), and other valuable policies and resources.

Q: Why would I or when should I call the University Ethics Office?

You can call the University Ethics Office with any questions related to ethics training, Statements of Economic Interests, and potential violations of University policy or state or federal laws. If we are not the best outlet for addressing your question, we will work to connect you with the most appropriate resource. We will also act as a liaison with another unit to distance you from the situation to the extent possible. It is always best to contact our office before you or another employee take any action that may result in an ethical violation.

If you are not sure, ask. Keep asking until you get an answer.

Ethics Act Summary

State Officials and Employees Ethics Act (Ethics Act), Passed in 2003

The Ethics Act applies to all University employees and appointees and establishes requirements over areas such as:

- Personnel policies
- Prohibited political activities
- Prohibited offers and promises
- Contributions on state property
- Gift Ban
- Revolving door prohibitions
- Whistle-blower protections
- Penalties for violations of the law
- Annual ethics training
- Ethics hotline

*For a full version of the Ethics Act, please visit: www.ethics.uillinois.edu/policies

The University has a Toll-free Ethics Help Line (866-758-2146) for questions and concerns regarding conduct and ethical dilemmas.

Common Aspects of the Ethics Act

The Ethics Act is a detailed law containing multiple provisions. The more commonly addressed aspects of the law within the University environment pertain to the Gift Ban, whistle-blower protections, and prohibited political activities. It is important to recognize the law truly applies to all University employees and appointees, regardless of budgetary authority, salary, or employment classification.

Scenarios related to the Ethics Act can be found in the back of this *Handbook* on pages 28-34.

Gifts pg. 29,34

Gifts, per the Ethics Act, are any items given by a prohibited source (someone who does or seeks to do business with the University and any members of their immediate family living with them) to an employee. The items can range from t-shirts and baseball caps to clocks, gift certificates, and other high-priced goods. While there is an exception allowing employees to accept gifts totaling less than \$100 in value over the course of a calendar year from any one prohibited source, it is important to recognize the limitations of departmental policies as well as public perception in the acceptance of such gifts.



Whistle-Blower Protections pg. 33



These protect any employee or appointee who reports a believed violation of University policy or the Ethics Act and it can be proven they were retaliated against as a result. While the University Ethics Office will accept anonymous reports, whistle-blower protections can only be provided if your identity is known.

Prohibited Political Activities

Prohibited political activities are those actions taken by employees to specifically promote a particular party, candidate, referendum, or political agenda. The Ethics Act prohibits such activities while on University time or using University resources. Examples of such activities include use of University printers, telephones, fax machines, or computers to conduct political activities. Employees must use approved benefit time to participate in any activities that are considered to be prohibited per the Ethics Act.



Several additional scenarios related to the Ethics Act are available on the University Ethics Office web site at:
www.ethics.uillinois.edu/resources

Mandatory Annual Ethics Training

The Ethics Act requires all public university employees and appointees to complete ethics training on an annual, calendar year basis. Training is developed and administered by the University Ethics Office.

Permanent Employees

All permanent employees are required to complete an online training program developed and administered by the University Ethics Office. This program is available for one 30-day window annually. For more information, please visit www.ethics.uillinois.edu/training

Appointees

Members of the University of Illinois Board of Trustees are required to complete a course that is developed and tailored specifically for appointees.

Seasonal and Temporary Employees

Undergraduate student workers, extra help employees, and medical residents must complete an approved, shortened version of the training annually. This is available year-round on the University Ethics Office Web site at: www.ethics.uillinois.edu/training/seasonal-temp.cfm

New Employees

In addition to annual training, the Ethics Act requires all new employees complete an orientation to the law within their first 30 days of employment. This is accomplished by including an ethics orientation component in the NESSIE New Hire process.

"Ethical dilemmas often arise as the unintended consequences of well-intentioned actions, not from unethical motives."

(Michael Rion)

Penalties for Noncompliance

Failure to complete annual ethics training will result in the statutorily required reporting of your name to the OEIG. The penalties for non-compliance will be determined by the Illinois Executive Ethics Commission, based on authority granted within the law, allowing for fines up to \$5,000. Additionally, the University has developed a progressive disciplinary action plan for addressing non-compliant employees.

Training Resources

Beyond contacting the University Ethics Office with any questions or concerns related to training materials, the following resources are also available to employees:

For technical difficulty related to the University's online training, please contact your respective campus AITS Service Desk:

- UIC: 312-996-4806
- UIS: 217-333-3102
- UIUC: 217-333-3102

For difficulty with the Annual Training for Seasonal and Temporary Employees, please contact your respective campus help desk:

- UIC: call the ACCC Help Desk at 312-413-0003
- UIS: call the UIS Technology Support Center at 217-206-7357
- UIUC: call the CITES Help Desk at 217-244-7000

Individuals having difficulty completing the NESSIE New Hire Ethics Orientation should contact their respective departmental human resources representative.

For more details on annual ethics training, please visit: www.ethics.uillinois.edu/training

To maintain public trust and confidence, University employees and those representing the University must act in a manner consistent with our mission to transform lives and serve society by educating, creating knowledge, and putting knowledge to work on a large scale and with excellence.

A conflict of interest can arise if judgment of an employee, or individual acting on behalf of the University is, or may be, influenced by personal interests, and this influence causes the interests of the

University to be compromised or interferes with the performance of duties on behalf of the University. As members of academic disciplines, professions, and other fields of work, the professional, business, and service activities of University employees extend beyond the University. The *Policy on Conflicts of Commitment and Interest* (www.vpaa.uillinois.edu/policies/conflict-of-commitment-and-interest-policy.cfm) establishes guidelines for permissible outside activities and provides for disclosure and management as needed.

Your actions related to University business should always seek to serve the best interests of the University.

They should not be taken to benefit you or anyone else personally.

It is important to recognize the damage a perceived conflict of interest could impose on University staff as well as the public. Caution should be exercised when taking action or participating in activities where there may be a perception of preferential treatment or inappropriate behavior. A conflict of

interest is perceived if a reasonable observer, having knowledge of all relevant circumstances, feels there is an apparent conflict of interest. Such activities should

be addressed just as if there were an actual conflict of interest. Employees and other representatives of the University should contact their supervisor, campus vice chancellor for research, or the University Ethics Office to discuss any concerns they have related to possible conflicts of interest **prior to taking any action.**

When representing the University, your actions related to University business should always seek to serve the best interests of the University. Your actions should not be taken to benefit you or anyone else personally.

Reporting Actual and Potential Conflicts

Each academic staff member must complete a *Report of Non-University Activity* (www.vpaa.uillinois.edu/policies/conflict_form.cfm) annually, which requires retrospective and prospective disclosure of external activities. Civil Service policy requires employees to disclose any conflicts of interest to their supervisors in writing, although no specific form has been designated for this purpose (<https://nessie.uibr.uillinois.edu/pdf/policy/rules/pr16r01.pdf>). Members of the Board of Trustees must also complete a disclosure form.

Throughout the year, additional disclosure is necessary whenever a change in external activities occurs or when required by granting agencies. Approvals of activities that fall under the *Policy on Conflicts of Commitment and Interest* are the responsibility of the unit executive officer.

Consider an employee who is responsible for buying boxed lunches for an upcoming staff meeting and whose spouse happens to own a catering business. If the employee purchases the lunches from the spouse's company, this creates a conflict of interest, as the employee would use his or her University position to provide business to the spouse's company. The employee would indirectly profit from this purchase, and thus the employee's biased decision to use this caterer may not be acting in the best interest of the University. In this case, the employee should use the services of another caterer to avoid the conflict of interest. Even if the spouse's company offers the "best deal," it is important to remember that perception plays a significant role in the actions of all University employees. When acting on behalf of the University, it is important to keep in mind how your actions may be viewed by others.

If you have questions on conflicts of interest, please call:
UIC: 312-996-4995 • UIS: 217-206-6614 • UIUC: 217-333-0030
Or the Toll-free Ethics Help Line: **866-758-2146**

Introduction

This establishes guidelines for professional conduct by those acting on behalf of the University including executive officers, faculty, staff, and other individuals employed by the University using University resources or facilities, and volunteers and representatives acting as agents of the University. This is not an attempt to define specifically what one should and should not do, but to communicate the University's expectations of proper conduct and what professional conduct the University values.

Conduct

Those acting on behalf of the University have a general duty to conduct themselves in a manner that will maintain and strengthen the public's trust and confidence in the integrity of the University and take no actions incompatible with their obligations to the University.

With regard to professional conduct, those acting on behalf of the University should practice:

Integrity by maintaining an ongoing dedication to honesty and responsibility

Trustworthiness by acting in a reliable and dependable manner

Evenhandedness by treating others with impartiality

Respect by treating others with civility and decency

Stewardship by exercising custodial responsibility for University property and resources

Compliance by following state and federal laws and regulations and University policies related to their duties and responsibilities

Confidentiality by protecting the integrity and security of University information such as student records, employee files, patient records, and contract negotiation documents

Questions related to the Code of Conduct should be directed to the University Ethics Office:

Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu

The University has many resources to help employees understand and comply with University policies, procedures, rules, and regulations that prescribe proper conduct by both the employer and employee in matters involving conditions of employment and the promotion of a productive work environment.

Non-Discrimination

All employees are expected to comply with the University's non-discrimination policy, which prohibits any form of harassment or discrimination against any individual in the full and equal use of the facilities and services of the University. Equal opportunity is provided in the hiring, retention, training, transfer, promotion, compensation, and upgrading processes for all employees.

- UIC Office for Access and Equity: 312-996-8670
- UIS Office for Access and Equal Opportunity: 217-206-6222
- UIUC Office for Equal Opportunity and Access: 217-333-0885

www.uillinois.edu/trustees/nondiscrimination.cfm

Sexual Harassment

Sexual harassment is defined by law and includes any unwanted sexual gesture, physical contact or statement that is offensive, humiliating, or interferes with required tasks or career opportunities at the University. Questions regarding sexual harassment should be directed to the respective campus Office for Access and Equity or Equal Opportunity and Access.

More Assistance:

Office of Academic Human Resources

UIC: 312-413-3490 • UIS: 217-206-6652 • UIUC: 217-333-6747

Department of Human Resources (UIC);

Staff Human Resources (UIS, UIUC)

UIC: 312-996-4852 • UIS: 217-206-6652 • UIUC: 217-333-3101

RESPECTING

Respect for individual and institutional privacy requires care and good judgment. University employees and those representing the University are entrusted with personal and institutional information that should be treated as *confidential*.

As a public institution, the University of Illinois keeps its business affairs open to public scrutiny.

However, there is some information that must be treated as *confidential*, such as student records, employee files, patient records, and contract negotiations. Anyone accessing University information assumes responsibility for the information and must ensure *confidentiality*. Such information is to be used for University business only.

CONFIDENTIALITY

Employee Information



Requests for current or past employee information should be referred to the campus Staff Human Resources Office or the Office of Academic Human Resources.

UIC: 312-996-4852

UIS: 217-206-6652

UIUC: 217-333-3101

Medical Information

The release of medical information is governed by the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)*. Requests for medical information should be referred to the applicable Privacy Officer.

UIC: 312-355-5650

UIS: 217-206-6676

UIUC: 217-333-2720

Student Information

The release of student information is governed by the *Family Educational Rights and Privacy Act (FERPA)*. Requests for student information should be referred to the Office of the Registrar.

UIC: 312-996-4350 or
312-413-1878

UIS: 217-206-6174 or
217-206-6709

UIUC: 217-333-0210

These two pages list the more common information requests received by University employees. If you are in doubt, you can call the University Ethics Office on the Toll-free Ethics Help Line for guidance at: **866-758-2146**.

Institutional Information

Requests for institutional information, *Freedom of Information Act*** requests, and all media requests should be referred to the UIC or UIUC Office of Public Affairs, the UIS Office of Campus Relations, or the Office for University Relations in central administration.

UIC: 312-996-3456

UIS: 217-206-6716

UIUC: 217-333-5010

University Relations: 217-333-6400;
312-996-3772

***The Illinois Freedom of Information Act (FOIA) provides public access to government documents and records. As a state institution, the University of Illinois is subject to the Illinois FOIA (www.ag.state.il.us/government/foia_illinois.html). The offices listed above are the only offices authorized to respond to FOIA requests (www.publicaffairs.uiuc.edu/pr/foiafaqs.html).*

Subpoena Issuance

All subpoenas should be directed to University Legal Counsel. If you are presented with a subpoena, please contact your Campus Legal Counsel.
UIC: 312-996-7762
UIS: 217-206-7796
UIUC: 217-333-0560

Donor Contact

Requests for information about opportunities for charitable contributions to the University should be directed to the campus Office for Development or a unit's development office. Information about donors should not be released unless cleared by the donor; check with the development office on this matter. Many units have their own development offices. However, there are also centralized University of Illinois Foundation development offices on each of the three campuses.
UIC: 312-413-2992
UIS: 217-206-6058
UIUC: 217-244-1206

Questions related to confidentiality can be directed to the University Ethics Office:
Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu

Representing the University

On many occasions, you may have the opportunity to represent or serve as an ambassador of the University, including recruiting meetings for potential students or student-athletes; meetings with peers from other universities; presenting at or attending professional conferences; interviewing potential faculty and staff; interacting with community, state, and federal government officials; visiting with members of the agricultural community; and participating as a member of a performing arts group.

Professionalism, honesty, and integrity should prevail.

Any contact with patrons and potential donors to the University requires both professional and ethical behavior. See Section IV-1: *Campus Policy Regarding Development Activity* of the *UIUC Campus Administrative Manual* (www.fs.uiuc.edu/cam/) for a definition of fundraising responsibilities applying to all campuses. All faculty, staff, student employees, and others acting on behalf of the University are expected to comply with relevant laws, grant and contract requirements, regulations, policies and practices, and all applicable University and professional standards. Faculty or staff members may be considered agents of the University if they act on behalf of the University and within the scope of duties assigned by the University.

As a representative of the University, it is important to keep in mind the role of public perception. Even if something has been approved or is permitted within the confines of the law, you must always be aware of how certain conduct or participation may be interpreted by others and steer clear of those invitations that may also generate or cause unwanted publicity.

Prohibited Source Event-Hosting



As a University employee you may find yourself invited to participate in or attend conferences hosted by a prohibited source. A prohibited source is any individual or entity who conducts or seeks to conduct business with the University or another state agency and any members of their immediate family living with them. It is your responsibility to be aware of what you are allowed to do and/or accept as it relates to the Ethics Act. If you are invited to attend such an event, please contact the University Ethics Office to ensure your attendance is in compliance with all relevant laws and policies, including the Ethics Act.

Unsure?

Ask the University Ethics Office.

Because employees and individuals representing the University can encounter many complicated situations, it is a good idea to contact the University Ethics Office for guidance related to what is or is not acceptable per both University policies and procedures and state law. You can do this by sending an email to:
ethicsofficer@uillinois.edu
or calling the Toll-free Ethics Help Line at:

866-758-2146

“Don't *say*
what you believe about ethics...

...*show* what you believe.

”
(Price Pritchett)

Each unit head is responsible for managing financial resources within his or her department and must do so in compliance with the departmental mission, University policies, good business practices, and proper accounting principles.

Delegating Signature Authority

The unit head must define the balance between the need for control and the operating efficiency of the department. Part of this determination involves the delegation of signature authority. While signature authority may be delegated, budgetary responsibility remains a function of the unit head. Additional information related to signature authority can be found in Section 2.1: *Signature Authority* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Account Activity Monitoring



Employees such as unit heads, business managers, and principal investigators (PIs) responsible for account accuracy should:

- Ensure that financial reports containing account activity are reviewed for accuracy and completeness and that adequate supporting documentation exists to substantiate all transactions
- Verify that all entries made to each account are appropriate, comply with University policy, and are allowable based on the restrictions, if any, of the funding source
- Take corrective action to resolve any inappropriate transactions posted to the account



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Segregation of Duties

Business activities should be designed to provide a segregation of duties, so that no single employee will be responsible for all aspects of a transaction.

For example, one individual ordering, approving the order, and receiving the goods provides an increased risk for inappropriate transactions. Similarly, the department's financial reports should be reviewed by an individual who does not approve vouchers and requisitions: this provides an independent review of the transactions posted to the department's accounts and limits the opportunities to misappropriate assets or conceal other intentional misrepresentations in the departmental accounts.

For questions related to the appropriate segregation of duties and/or adequate supporting documentation, please contact the Office of University Audits at 217-333-0900. For more information related to the information contained in this section of the *Handbook*, please review section 9.1: *Internal Control* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Questions related to signature authority, segregation of duties, and general controls should be directed to:

Office of University Audits: 217-333-0900

Always apply **ethics, respect, trust, integrity, University values, and honesty** in all that you do. You will achieve great **results!**

Computer, Network, and Telephone Resources

The University provides computer resources to support the work of faculty, staff, and students. The University computer system consists of a multi-campus backbone network, local area networks, shared computers, and workstations. System users must adhere to University policies for the responsible use of these resources.

Appropriate and Acceptable Use Policies pg. 28

- UIC: www.uic.edu/depts/accc/policies/uicpol.html
- UIS: www.uis.edu/its/about/policies.html
- UIUC: www.fs.uiuc.edu/cam/CAM/viii/viii-1.1.html
- University-wide: Section 19.5: *Information Security of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp)

The University computing and network facilities may not be used for improper or illegal purposes, such as unauthorized use of licensed software, intent to breach security, sending chain letters, or the introduction of computer viruses. Access to or transmission of pornographic or sexually explicit images or messages containing prohibited political content are not allowed. For text not directly related to University teaching, research, or administrative responsibilities, departmental policies should be referenced.

Faculty, staff, students, and others acting on behalf of the University are expected to exercise responsible and ethical behavior when using the University's computers, networks, or other resources.

These responsibilities include the proper storage, access control, and disposal of private and confidential data in any form. Individuals also must report known or suspected security violations to the Associate Vice President for Administrative Information Technology Services (AITS) or delegate. See section 19.6: *Financial Information Access and Security of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Questions related to computer resources should be directed to:
UIC: 312-413-0003 • UIS: 217-206-7357 • UIUC: 217-244-7000

Password “Shhh”aring

Individuals are responsible for protecting assigned access codes, passwords, and other authentication data. **Do not reveal your password to others**, including any other member of the University community.

Personal Telephone Use

Your time during work hours and the telephone equipment are considered University assets to be applied to University activities. University policy permits personal phone usage for those calls that:

1. Do not adversely affect the University or the employee's performance of his/her official duties
2. Are of a reasonable duration and frequency
3. Could not have reasonably been made during non-work hours

The only personal calls permitted are those that cannot reasonably be made outside of working hours, and those should be kept to a minimum.

The *University's Use of University Telephones Policy* further addresses and defines the issue of personal calls and can be found in Section 9.7: *Use of University Telephones of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

The Bottom Line

Be Responsible

Questions related to telephone and resource use can be directed to the University Ethics Office:
Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu

Protecting University Assets

All University employees are entrusted with protecting the property, equipment, and other assets of the University. This ranges from locking doors, computer work stations, and cabinets, to reporting observed patterns of unusual behavior.

A wolf found great difficulty in getting at the sheep owing to the vigilance of the shepherd and his dogs. But one day it found the skin of a sheep that had been flayed and thrown aside, so it put it on over its own pelt and strolled down among the sheep.

The lamb that belonged to the sheep whose skin the wolf was wearing began to follow the wolf in the sheep's clothing. So, leading the lamb a little apart, he soon made a meal of her - and for some time he succeeded in deceiving the sheep, and enjoying hearty meals.

Appearances can be deceiving.

As the example above illustrates, things are not always what they seem. Employees and others acting on behalf of the University need to use their natural instincts when evaluating the appropriateness of a situation. All University Ethics Office reviews are conducted in a confidential manner and there is no harm in reporting something that turns out to be appropriate, as long as the complainant truly believed wrongdoing existed. If you are in doubt, call the Toll-free Ethics Help Line at: **866-758-2146** to report a concern.

Story source: www.eastoftheweb.com/cgi-bin/version_printable.pl?story_id=WolShe.shtml
Retrieved 3/29/07



Misuse of assets assumes many forms and can involve some deception or misrepresentation of facts and information for personal gain, as well as deliberate misappropriation of property or funds for personal use. Examples include: falsification of time worked; falsification of expenses claimed for reimbursement; theft of cash or property; personal use of University facilities, vehicles, equipment or supplies; and conducting personal activities during work hours. Other examples include the misrepresentation of the University's name and service or trademarks or unapproved use of University discounts or benefits for the purpose of individual gain. For more information related to the University P-Card and the use of University seals and logos, see section 7.6: *The University P-Card of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

The use of University funds or assets for any unlawful or improper purpose is prohibited by state statute and should be reported to the University Ethics Office.

Per University policy, misuse of University resources, including photocopy machines, telephones, email, computers, buildings, etc. must be reported to a supervisor. There are specific protocols defined in the Ethics Act that determine how such matters should be addressed on an internal and external basis. See section 9.2: *Employee Responsibility for University Assets* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Department heads are responsible for safeguarding University assets by providing the necessary supervision, control, and inventory of University property. All University property must be disposed of according to University policy as further defined in sections 12.1: *Custodianship of Property* and 12.4: *Acquisition, Transfer, and Disposal of Equipment (State and Non-State)* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

If you notice any of the above-described abuses, please contact the University Ethics Office at: **866-758-2146**.

Posting Transactions

All revenue generated by University activities and all expenditures for goods and services must be recorded and accounted for in a timely and accurate manner within the University of Illinois financial systems. Specific guidance on timely posting of transactions in University financial systems is in Section 10.2: *Cash Collections and Deposits* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).



Payments by the University must be for the purpose described on supporting documents. Adequate supporting documentation is necessary to ensure the validity and appropriateness of all expenditures made on behalf of the University.

Contracts with Vendors

All contracts with people or businesses outside the University must be signed by a University officer or designee and reviewed by University Counsel, as noted in section 2.3: *University Contracts and Leases* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Bank Accounts

No bank accounts may be established by individual schools, departments or units, or others acting on their behalf to support any University activity without advanced written approval of the Senior Associate Vice President for Business and Finance. For more information, please see section 14.8: *Authorization to Open/Close Bank Accounts* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp). No credit relationship may be established with any vendor without the express approval of the Purchasing Department and a contract approved by University Counsel.

The Office of Business and Financial Services (OBFS) is the most effective place to address financial concerns:
www.obfs.uillinois.edu/

UIC: 312-996-2860 • UIS: 217-206-6700 • UIUC: 217-244-5418

Information in University records is a valuable asset and must be safeguarded. As a public institution, the University keeps its activities open to public scrutiny, and there are rules for record retention.

Article VI, Section 4: *University Archives* of the *General Rules Concerning University Organization and Procedure* (www.uillinois.edu/trustees/rules.cfm) state,

"Records produced or received by any agency or employee of the University in the transaction of University business become University property... No University records shall be discarded or destroyed except upon the prior approval of the Archivist pursuant to the finding and recommendation by the administrative unit involved that such records have no further administrative value."

Record Retention

The amount of time paper and electronic (e.g., data files, email, web pages, etc.) records must be kept varies and depends on each department. Before destroying or disposing of any documents that are records of the University, departments must consult their campus' University Archivist to develop a records management plan and a record-retention schedule. The schedule should address each type of record maintained in the department and specify a retention period for each. The retention period for departmental records will be determined after careful consideration of several factors:

- the department's interest in the records for future administrative purposes
- any legal and audit requirements
- any historical significance

Records considered to be of permanent value can be transferred to University Archives under a records disposition schedule. Contact your University Archivist for help with a departmental records management plan and retention schedule for your paper and electronic records.

University Archivists should handle all retention inquiries. Please contact your respective Archivist with such requests:

UIC: 312-996-2742 • UIS: 217-206-6520 • UIUC: 217-333-0798

University Resources: Email Use

Q: Is it permissible to occasionally send personal email to my colleagues outside the University?

A: The University computer resources enable faculty and staff to carry out their teaching, research, and administrative duties. “Use of the University’s computing and networking infrastructure by University employees unrelated to their University positions must be limited in both time and resources and must not interfere in any way with University functions or the employee’s duties. It is the responsibility of employees to consult their supervisors, if they have any questions in this respect.”

See section 19.5: *Information Security Policy of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp) for additional details.

Authorized persons may use computer resources for purposes related to instruction, coursework, research, and administration. The resources are not to be used for commercial purposes or the resale of network services not directly related to the mission of the University.

University Funds: Appropriate Use

Q: Can I treat staff to dinner on grant funds to recognize a job well done?

A: No. Funds received for research must be used for research. Employee recognition dinners are not allowed unless specifically included in the grant budget. See section 8.13: *Allowability and Funding of Certain Expenditures of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Gift Ban: Vendor Paid Outings and Events

Q: As a technology department employee at the University, I have been invited by a major computer vendor, who does business

with the University, to attend a conference with other large corporations to learn about new products and discuss user needs. While I will not serve on a panel or present specific material, I am expected to provide feedback and actively participate in the conference. The vendor, who is a prohibited source, is hosting a golf outing at a PGA Tour course one evening. Can I attend the conference and participate in the golf outing at the expense of the prohibited source?

Outings and conferences paid for by prohibited sources are typically unique in nature. As such, it is usually best to seek the advice of the University Ethics Office, as it relates to the *State Officials and Employees Ethics Act* Gift Ban section before accepting this opportunity from a vendor. The Ethics Office will let you know what is and is not permissible, as well as providing guidance on how to document the situation for record-keeping purposes.

A: The fair market value of the golf outing would likely exceed the less than \$100 allowance per the Ethics Act and is not considered relevant to the mission of the trip. As such, you could only participate if you use appropriate benefit time and personally absorb any related costs. It is also recommended by the University Ethics Office that adequate documentation that you paid your own way, such as a receipt, be maintained in the event of future inquiry. You can allow the vendor to pay for the travel and lodging related to the conference, provided it is in a manner customary to state travel, since this falls under the Educational Materials and Missions exception to the Ethics Act, though you must first seek Ethics Officer approval.

Questions? Contact the University Ethics Office:

Toll-free Ethics Help Line: 866-758-2146 • ethicsofficer@uillinois.edu

Segregation of Duties

Q: Due to turnover in the office, I recently acquired additional responsibilities in my position, which requires me to approve purchases for the department, as well as maintain my former responsibility of reconciling monthly financial statements. The office is very small and there is nobody else to address these tasks separately. Is it ok for me to continue in this capacity?

A: Maybe. The only way to continue in this capacity would be to have your supervisor, or someone in another reporting line, review and approve the monthly reconciliations. This segregation of responsibilities provides protection to both you and your unit because you are not solely responsible for the purchasing and reconciliation of such purchases.

Software Piracy

Q: I have a license for Adobe Photoshop but will be sharing a job responsibility, requiring the software, with another individual in my office. Can I just add that software to their machine as well, since we are both using it for the same project, even though it is licensed to me personally?

A: No. If you do not have the appropriate license arrangement with the seller of the software, you cannot copy the material for use by other non-licensed individuals. The use of software acquired by the University is governed by licenses or contracts that define how and where the software may be used. The license cannot be shared unless it is a departmental license, for use by all individuals within the department. See section 19.8: *Software Copyright Compliance of the Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp).

Employment References?

Q: A potential employer has requested an employment reference for a former employee in my unit. Should I respond to their request? What is my responsibility?

A: Staff members are not required to furnish employment references. You may refer this employer to the appropriate human resources office. If you have written consent from your former employee and feel comfortable responding, you may. It is advised that you communicate only fact-based information, such as dates of employment, position(s) held, and duties.

- UIC: 312-996-4852
- UIS: 217-206-6652
- UIUC: 217-333-3101

If you receive a request and aren't sure where it should be directed, **call the Toll-free Ethics Help Line:**

866-758-2146

Ethics Office Staff will direct you to the appropriate resource.

Questions? Contact the University Ethics Office:
Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu

Inappropriate Purchases

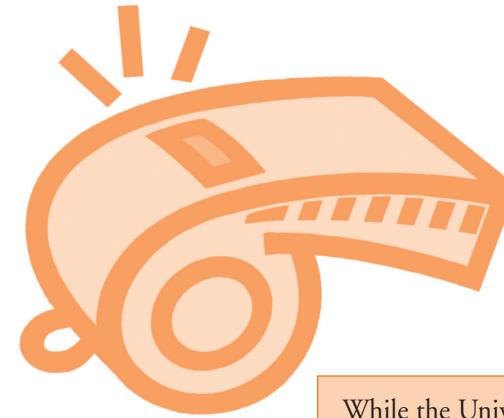
Q: Earlier in the year, I bought supplies from Amazon.com for the office using my University purchasing card, and the P-card information was saved in my account for use in future purchases. Recently, I logged into Amazon.com to purchase the latest mystery novel, and mistakenly processed the payment through my University P-card instead of charging it to my personal MasterCard. What should I do? Who do I need to report this to?

A: Since reimbursement to a University account can be a complicated process and documentation is absolutely necessary, it is a good idea to contact the Office of Business and Financial Services to ensure policy and procedures are followed. As always, sufficient documentation should be maintained on file related to the accidental purchase and the subsequent reimbursement. You do not need to report this incident to the University Ethics Office or the Office of Executive Inspector General for the Agencies of the Illinois Governor, as the situation was isolated and unintentional. However, unreimbursed and intentional personal purchases should be reported.

University Property

Q: My department has decided that it does not want a piece of office furniture. Can I take it home for personal use?

A: No. State-owned equipment has specific disposal requirements. The Office of Business and Financial Services (OBFS) University Accounting and Financial Reporting is responsible for the disposal of University equipment. The department should contact University Property Accounting and Financial Reporting for instructions on the disposal of the office furniture (page 25). See section 12.4: *Acquisition, Transfer and Disposal of Equipment (State and Non-State)* of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp) for additional details.



Reporting Wrongdoing Whistle-blower Protections

Q: If I report a misuse of assets or a violation of information security, could I be subject to retaliation?

A: Retaliation against an employee who files a report of inappropriate activity is prohibited by University policy and law. Per the *Wrongful Conduct and Whistleblower Protection* section of the *Business and Financial Policies and Procedures Manual* (www.obfs.uillinois.edu/bfpp), University employees are to manage University assets in a manner that ensures the assets are used only for authorized purposes, in accordance with University policy, rules, and applicable law. Any employee who has reason to believe this policy has been violated, is instructed to report the incident(s) and all relevant information to her supervisor or the University Ethics Office.

While the University Ethics Office will accept anonymous reports, please note that **you can not be provided whistle-blower protections if you report something anonymously**, because the University Ethics Office would not be able to verify whether or not you had reported your concerns.

Questions? Contact the University Ethics Office:
Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu



Gifts to Employees

Q: A University vendor has offered to provide some University employees, including me, with free tickets to a dinner theatre production as a “thank you” for our business. The dinner and theatre tickets are valued at approximately \$180 per person. Can we accept the tickets?

A: No. The Ethics Act prohibits employees of governmental entities, including the University of Illinois, from intentionally soliciting or accepting a gift from a “prohibited source.” The Ethics Act contains detailed definitions of “gift” and “prohibited source” as well as a list of exceptions. For additional details related to the Ethics Act, as well as other scenarios and examples, please refer to the University Ethics Office web site at: www.ethics.uillinois.edu.

One of twelve exceptions to the Ethics Act allows state employees, including University employees to accept gifts from prohibited sources totaling less than \$100 in value over the course of a calendar year.

Questions? Contact the University Ethics Office:
Toll-free Ethics Help Line: **866-758-2146** • ethicsofficer@uillinois.edu

Academic Human Resources, Office of

Chicago: 312-413-3490
Springfield: 217-206-6652
Urbana-Champaign: 217-333-6747

Administrative Information Technology Services (AITS)

All Campuses: 217-244-0100

Audits, Office of University

All Campuses: 217-333-0900

Business and Financial Services, Office of

Chicago: 312-996-2860
Springfield: 217-206-6700
Urbana-Champaign: 217-244-5418

Development, Office of

Chicago: 312-413-2992
Springfield: 217-206-6058
Urbana-Champaign: 217-244-1206

Employee Assistance Programs

Chicago: 312-996-3588
Springfield: 217-206-7142
Urbana-Champaign: 217-244-5312

Ethics Office, University

Toll-free Ethics Help Line: **866-758-2146**

Human Relations and Equal Opportunity, Office of

Chicago: 312-996-8670
Springfield: 217-206-6222
Urbana-Champaign: 217-333-0885

Human Resources, Department of (See also Academic Human Resources and Staff Human Resources)

Chicago: 312-996-4852

Office of Executive Inspector General for the Agencies of the Illinois Governor (OEIG)

Toll-free hotline: 866-814-1113

Police

Chicago: 312-996-2830
Springfield: 217-206-6690
Urbana-Champaign: 217-333-1216

Property Accounting and Reporting, University

All Campuses: 217-333-0786 (for disposal); 217-244-7978 (for new acquisitions)

Public Affairs, Office of

Chicago: 312-996-3456
Springfield: 217-206-6716 (Campus Relations)
Urbana-Champaign: 217-333-5010
University Relations: 217-333-6400; 312-996-3772 (central administration)

Purchasing

Chicago: 312-996-2850
Springfield: 217-206-6651
Urbana-Champaign: 217-333-3505

Registration/Admissions/Records, Office of

Chicago: 312-996-4350
Springfield: 217-206-6709 or 217-206-6174
Urbana-Champaign: 217-333-0210

Research Standards Officer

Chicago: 312-996-1976
Springfield: 217-206-6614
Urbana-Champaign: 217-333-0034

Staff Human Resources Office

Springfield: 217-206-6652
Urbana-Champaign: 217-333-3101

University Counsel

Chicago: 312-996-7762
Springfield: 217-206-7796
Urbana-Champaign: 217-333-0560

Vice Chancellor for Research, Office of the

Chicago : 312-996-4995
Springfield : 217-206-6614
Urbana-Champaign: 217-333-0030

** A reference listing including office Web sites and additional policy references can be found at: www.ethics.uillinois.edu

Academic Integrity in Research and Publication

www.vpaa.uillinois.edu/policies/Integrity-Policy.pdf

Academic Staff Handbook

UIS: www.uis.edu/UIS_Academic_Staff_Handbook/Introduction
UIUC: www.abr.uiuc.edu/abrhandbook/default.htm

Administrative Information Technology Services (AITS)

www.aits.uillinois.edu

Business and Financial Policies and Procedures Manual

www.obfs.uillinois.edu/bfpp

Campus Administrative Manual, UIUC

www.admin.uiuc.edu/cam/

Conflicts of Commitment and Interest

www.vpaa.uillinois.edu/policies/conflict-of-commitment-and-interest-policy.cfm

Human Subjects in Research

UIC: www.uic.edu/depts/over/oprs/
UIS: www.uis.edu/grants/irb/index.html
UIUC: www.irb.uiuc.edu/

Personnel Policies

https://nessie.uibr.uillinois.edu/cfpolicies/index.cfm?Item_id=874

University of Illinois Policies

www.vpaa.uillinois.edu/policies/?bch=0

University of Illinois Statutes

www.uillinois.edu/trustees/statutes.cfm

University Police/ Division of Public Safety

UIC: ness2.uic.edu/UI-Service/tocs/SAFE.html
UIS: www.uis.edu/police/
UIUC: www.dps.uiuc.edu