Statement of Principles

Rowan University Policy

Title: *Statement of Principles*
Subject: *University Community*
Policy No: *BOT: 2015:01*
Applies: *University-wide*
Issuing Authority: *Board of Trustees*
Responsible Authority: *President*
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I. PURPOSE

To articulate in one place the principles to which all parts of the University - its trustees, administration, faculty, staff, students, employees, volunteers, and contractors – should aspire in their daily interactions. The Statement of Principles expresses our shared commitment to integrity in all of our actions while pursuing the University's mission – excellence in teaching, patient care, research, and public service through ethical conduct in the discharge of one's duties, responsibilities, and all other University activities. All members of the University community owe it to each other to adhere to these principles as well as applicable laws, regulations, and University policies. This Statement does not address every possible situation; rather, it expresses in one place the core principles that we expect will guide the conduct of every member of the University Community.

II. ACCOUNTABILITY

Under the direction of the Chairperson of the Board of Trustees, the President, Provost, Executive Vice President for Administration and Strategic Advancement, Ethics Liaison Officer, Chief Compliance and Privacy Officer, and General Counsel, shall implement and encourage support for the Statement of Principles.

III. APPLICABILITY

These principles are intended to be observed by all members of the Board of Trustees, Officers (President and Vice Presidents), Deans, Academic Department Heads and Chairs, Faculty, Staff, Student Employees, and Volunteers (collectively, "University personnel") and to any contractor performing work or services on any Rowan campus or in any Rowan facility. For the purpose of this Statement, the term "University" applies to Rowan University and all of its campuses, locations and operations.

Whenever a question arises concerning the relevance of this Statement for a particular action or situation, the advice of a direct supervisor, the General Counsel, Ethics Liaison Officer, and/or Chief Compliance and Privacy Officer should be sought as appropriate.

IV. REFERENCES

The following policies provide additional and related information:

- Rowan Core Values
- Code of Ethics Faculty/Professional Staff Rowan University
- Reporting Compliance & Ethics Concerns
- Family Educational Rights and Privacy Act (FERPA)
- Rowan University Contracting & Purchasing Policy & Procedure

- Rowan Excluded Individuals & Entities
- Responding to Anti-Kickback Violations with Potential Implications
- Accounting and Disclosure of Health Information
- Access to Individual Protected Health Information (PHI)
- CMSRU By-Laws
- RowanSOM By-Laws
- New Jersey State Policy Prohibiting Discrimination
- Laws enforced by the US Equal Employment Opportunity Commission
- Rowan University Workplace Violence Policy
- Board of Trustees By-Laws

V. POLICY

1. Basic Tenets:

The core values of Rowan are: Quality Education, Student Centeredness, Leadership, Engagement, Accountability, Team Work, Customer Focus, Inclusiveness, and Entrepreneurship. Accordingly, all parts of the University community call on each of us to do our utmost to support, protect and defend that environment. In particular, the University community encourages support for the following basic tenets:

- Commitment to the Student
- Respect for Academic Freedom
- Respect for Educational Mission
- Respect for Research Mission
- Individual Integrity, Responsibility, and Accountability
- Respect for Others and Preservation of a Respectful Workplace
- Respect for University and State Resources
- Compliance with University, Federal and State Laws, Rules, Policies, and Regulations
- Compliance with New Jersey Conflict of Interest Laws and State Ethics Code
- Protection of Confidentiality and Privacy of Records
- Accuracy in Reporting
- Adherence to Internal Controls
- Fair Dealings in Agreements
- Protection from Retaliation

Commitment to the Student – University personnel will encourage free pursuit of learning while respecting both the students' rights to form their own views, and the diversity of cultures, backgrounds, and perspectives of our students. University personnel will deal justly and considerately with each student. University personnel will avoid exploitation of students for private advantage while respecting the confidential nature of the relationship between the professor/staff member and student. University personnel will provide recognition and acknowledgement of significant contributions by students. When necessary, University personnel will share information about students' educational needs with appropriate individuals within the parameters of applicable privacy laws and policies.

Respect for Academic Freedom – The free exchange of ideas on campus is essential to quality education and research. To achieve its potential, the University must provide academic freedom and a 'safe haven' to all, allowing inquiry and ensuring spaces where students and scholars can create new knowledge and challenge conventional wisdom in any field—art, science, religion, politics and others—without fear of reprisal.

Respect for Educational Mission – The University must remain committed to providing high quality academic services in accordance with all laws, regulations, program requirements and academic accreditation standards, and to the accurate representation of credentials and requirements for admission and graduation.

Respect for Research Mission – Affiliated researchers shall conduct their research with integrity, intellectual honesty, and appropriate respect for human and animal subjects. All research involving human subjects is subject to approval by an Institutional Review Board. All research involving non-human vertebrate animal subjects must be approved by the Institutional Animal Care and Use Committees. All such research shall remain in compliance with all conditions imposed by the respective committee. Research must be conducted for the advancement of knowledge while meeting the highest standards of honesty, accuracy, and objectivity. Researchers are obligated to demonstrate accountability for the funds of sponsors and payers while remaining in total compliance with specific terms and conditions of contracts and grants.

Individual Integrity, Responsibility and Accountability – The relationship between students and University personnel shall reflect an environment that focuses on education, professionalism, integrity, honor, and ethical conduct. To that end, the University will not permit behavior that improperly interferes with the learning environment, including harassment, discrimination and violence, including but not limited to arrangements having real or perceived power (e.g., faculty/coach-student, supervisor-supervisee, healthcare provider/patient). With respect to confidentiality, University personnel must follow all rules and regulations as outlined in the Family Educational Rights and Privacy Act (FERPA).

Respect for Others and Preservation of a Respectful Workplace – The University is committed to maintaining an environment of respect and inclusivity. Our community must and will have zero tolerance for illegal discrimination. All University personnel should adhere to the basic principles of honesty, professionalism, integrity, and ethical standards, and must adhere to the maintenance of a workplace devoid of hostility and harassment.

Rowan University promotes a diverse community that begins with students, faculty, administration and staff who respect each other and value each other's dignity. By identifying and removing barriers and fostering individual potential, Rowan will cultivate a community where all members can learn and grow. The Rowan University community is committed to a safe environment that encourages intellectual, academic, and social interaction and engagement across multiple intersections of identities. At Rowan University, creating and maintaining a caring community that embraces diversity in its broadest sense is among the highest priorities.

Respect for University and State Resources – University personnel shall use all university equipment and facilities efficiently, economically, and for authorized university purposes only in accordance with University policy and State law.

Compliance with University, Federal and State Laws, Rules, Policies and Regulations – All University personnel should do their best to act in compliance with all applicable federal and state laws, rules, and regulations as well as University policies, procedures, agreements, and guidelines.

Compliance with New Jersey Conflict of Interest Laws and State Ethics Code – All University personnel must comply with the State of New Jersey Conflict of Interest Laws, State of New Jersey Ethics Guidelines, and University policies to avoid actual or perceived conflicts (including their personal and/or financial interests) and, in situations where they might arise or do exist, to disclose them immediately and to participate no further in them unless and until approved by the appropriate Rowan New Jersey Ethics Liaison Officer or his/her designee.

Protection of Confidentiality and Privacy of Records – University personnel with access to confidential information, including but not limited to Protected Health Information under the Health Insurance Portability and Accountability Act (HIPAA) as well as confidential student information under the Family Educational Rights and Privacy Act (FERPA), shall maintain the confidentiality and privacy of that information to protect all parties, to include written and oral communication.

Accuracy of Reporting – All University records, including student records, accounting and financial records, expense reports, medical records, time sheets and effort reports, admission, retention, and graduation data, and other documents, including any submitted to or subject to possible review by government agencies, must be accurate, clear and complete in accordance with generally acceptable accounting principles, government entities, bond covenant agreements, and other requirements.

Adherence to Internal Controls – Internal control comprises the plans, methods, and procedures used to meet the University's mission, goals, and objectives. To this end, all business units or department heads are specifically responsible for ensuring that internal controls are established, properly documented, and maintained for activities within their jurisdiction and followed. Any person entrusted with funds, including principal investigators, is responsible for ensuring that adequate internal controls exist over the use and accountability of such funds.

Fair Dealings in Agreements– University policies governing procurement, including public bidding requirements and New Jersey laws where applicable, must be followed insofar as vendors, potential vendors, excluded individuals or companies when obtaining goods and/or services. At all times federal and state laws must be followed relating to anti-referral and anti-kickback arrangements while adhering to the highest ethical standards in regards to business arrangements for selection, negotiation, determination of awards, and the administration of all purchasing activities. Persons affiliated with the University have an obligation to be honest and consistent in all marketing and advertising practices, must adhere to fair business practices, and must honor the spirit as well as the specific language of these laws.

Protection from Retaliation – People who make reports of suspected violations of this Statement, or of any policy, regulation, rule, or law, in good faith and in the ways expected of them, are acting to protect our special community. As such, we all owe them the commitment that we will not punish them in any way for doing so, and will comply with all policies protecting them from retaliation.

2. Tenets Specific to RowanSOM and CMSRU

In addition to the tenets expressed above, we also are committed to these tenets in the context of providing health care:

- Respect for Clinical Mission
- Compliance with all State and Federal Healthcare Program Statutes, Regulations, directives, and guidelines

Respect for Clinical Mission – The RowanSOM and CMSRU Clinical Communities must remain committed to providing high quality health care in a manner that is appropriate, medically necessary, and efficient, in accordance with current medical and ethical standards to include the obligation to provide medical screening exams or emergency care consistent with all applicable laws while displaying total respect for patient rights regarding choice of care and/or refusal of treatment.

Full Compliance with all state and federal healthcare program statutes, regulations, directives and guidelines – Federal and State health care programs, Medicare, and Medicaid require RowanSOM and CMSRU to comply with all applicable statutes, regulations, directives, and guidelines. This also includes the rules of Medicare fiscal intermediaries or carriers, RowanSOM and CMSRU policies and procedures, and any agreements that RowanSOM and CMSRU may enter into with state or federal organizations or regulatory agencies. Persons affiliated with RowanSOM and CMSRU may be required to attest to their compliance with federal and state rules and regulations as failure to fully comply could jeopardize participation in said healthcare programs. RowanSOM and CMSRU will not conduct business with any individual or entity currently excluded by the Office of Inspector General (OIG) and/or General Service Administration (GSA) and, to this end, persons affiliated with RowanSOM and who perform healthcare services (including administrative services) are subject to periodic background checks.

3. The University community shall always strive to create and sustain a culture in which ethical conduct is recognized, respected, and promoted on all levels. University core values include a commitment to diversity, personal mentorship, professionalism, collaboration and mutual respect, civic responsibility, patient advocacy, and life-long learning.

Note: The foregoing Statement of Principles is expressly intended to be aspirational. It is not intended to be enforceable by the University through any adverse personnel action.