

2018-2019 Code of Ethical Conduct for Faculty  
Saint Louis University School of Medicine

Effective Date: October 1, 2018

Responsible University Official: Kevin E. Behrns, Dean of the School of Medicine, Vice President for Medical Affairs

Approved By: SLUCare Legal and Compliance Committee 07/13/2018; School of Medicine Executive Committee 09/10/2018; Dean Kevin E. Behrns, MD 08/12/2018

1.0 Introduction:

The Mission of the Saint Louis University School of Medicine (the “School”) is the pursuit of excellence in education, research, clinical care, and community engagement through professional development, collaboration and social justice. In support of its Mission, the School embraces integrated activities internally and externally in basic and clinical research; the provision of patient-centered, compassionate, culturally competent health care; and engagement with the community through public service. Grounded in an understanding of the scientific method and an appreciation for personal commitment and service to others, these diverse educational experiences prepare individuals for careers and leadership roles in medicine and the medical sciences.

In furthering this Mission and pursuing excellence in their many endeavors, the members of the School community are guided by a shared commitment to behavior that adheres to the highest ethical standards and that is consistent with the ideals of Saint Louis University (the “University”), including the Jesuit notions of serving as women and men for others and *cura personalis* (care of the person). The School has developed this Code of Ethical Conduct (this “Code”) to describe ways in which faculty of the School, through their everyday activities, interactions and conduct, foster an academic community that exemplifies the University’s values and promotes civility, in keeping with the *Cura* standards.

2.0 Purpose:

The School of Medicine’s Strategic Plan specifies that we are a learning organization that demonstrates continuous quality improvement, maintains a professional culture of accountability, and demonstrates our *Cura personalis* values. The University and the School of Medicine have in place policies, standards of conduct and procedures that govern the relationships between the School and the members of the community. This Code is intended to underscore the expectations for professional and ethical conduct by faculty at the School. This Code is consistent with and does not replace existing University and School of Medicine policies.

3.0 Personnel Affected:

This policy applies to all faculty of the School of Medicine, including full-time, part-time, emeritus and endowed faculty serving in clinical, research, and academic capacities.

4.0 Code of Ethical Conduct Policy:

4.1 Expectations

Consistent always with the Mission and Strategic Plan, commitment to academic freedom and freedom of expression, and other policies of the University and the School, **faculty at the School are expected to:**

1. Follow the University’s standards of ethical and professional behavior.

2. Provide full cooperation with the University's compliance efforts and the School's Office of Professional Oversight.
3. Treat all staff, students, trainees, volunteers, patients and their families, research subjects and their families, faculty, and health care professionals with respect, civility and collegiality and without bias based on color, age, sex, race, ethnicity, national origin, religion, disability, military/veteran status, sexual orientation, or gender identity.
4. When in the learning environment provide clear direction and timely feedback, as well as constructive suggestions and opportunities for improvement or remediation when needed.
5. Resolve conflicts and counsel colleagues, students and subordinates in a non-threatening, constructive and private manner.
6. Teach, conduct research, and care for patients with competence, honesty and high ethical standards, embracing *cura personalis* (care of the person) in patient-centered interactions.
7. Support a learning culture that seeks continuous improvement to ensure accountability for individual and organizational behaviors and outcomes consistent with the Just Culture framework adopted by the School of Medicine. A key component to the framework is maintaining a professional culture of equity and justice through professional development and reduction of risk.
8. Understand and follow the University and the School policies and procedures applicable to their work and require those reporting to them to do the same.
9. Report suspected fraud, waste, abuse, and violations of laws, regulations, or policies and procedures of the University or of the School, including this Code, to the appropriate office of the University, and do not retaliate against those who do.
10. Promptly address violations of federal, state, local and international laws and regulations, and institutional policies and cooperate with investigations and audits as called upon.
11. Respect the personal, confidential, sensitive or legally protected information of all individuals (students, employees, alumni, donors, patients, research subjects, research sponsors, contractors, and others) of Saint Louis University and educational, research and clinical affiliates. Careful treatment of such information includes observing applicable laws, policies and procedures for obtaining, securing, maintaining, handling, divulging and destroying information, as well as limiting its use to the purpose for which access was granted.
12. Maintain all licenses and certifications required for their positions, participate in education and training as necessary to maintain professional competence, and be fit for duty during work time, including on-call responsibilities.
13. Use facilities, equipment, supplies and resources, including telecommunications and information technology resources, of the University and the School responsibly and for legitimate business consistent with policy and all legal requirements, including tax-exempt status.

14. Record, allocate, and document patient encounters, revenue, expenditures, time, effort, and other information in a way that is accurate, clear, complete and timely.
15. Protect the University and the School's name and intellectual property from improper use.
16. Observe regulations, standards, policies and adhere to sound practices relating to matters of health and safety, including laboratory and workplace safety, the handling and disposal of hazardous materials, and the operation of facilities, vehicles and equipment of the University.

#### 4.2 Restrictions

**Faculty must refrain from:**

1. Behavior that is disruptive or disrespectful of others and unprofessional interpersonal behavior that interferes with the working and learning environment (for example shouting, personal attacks or insults, condescending or abusive language, throwing objects or other displays of temper).
2. Providing care contingent upon personal business or relationships with patients, students, research subjects, or their families.
3. Unwanted physical contact with others or threats of such contact.
4. Sexual harassment or harassment based on color, age, sex, race, ethnicity, national origin, religion, disability, military/veteran status, sexual orientation, or gender identity. If a faculty member becomes involved in a romantic relationship with an individual who reports to her/him, s/he is expected to promptly disclose the relationship to her/his department director and to make an appropriate transfer of supervisory authority. If the department director is involved in a romantic relationship with an individual who reports to her/him, s/he must disclose the relationship to the Associate Dean for Faculty Affairs and, if applicable, to her/his Department Chairperson. Faculty Members are discouraged from pursuing romantic relationships with trainees, including students and residents.
5. Maintaining a supervisory role over a family member, including a domestic partner. If a faculty member becomes the supervisor of a member of her/his immediate family, s/he is expected to promptly disclose that fact to her/his department director (or to the Associate Dean for Faculty Affairs in the case of a department director) and to make an appropriate transfer of supervisory authority.
6. Accepting personal gifts without disclosure when the gift is directly or indirectly related to activity performed in one's capacity as a faculty member.
7. Discrimination in violation of policies of the University based on color, age, sex, race, ethnicity, national origin, religion, disability, military/veteran status, sexual orientation, or gender identity.
8. Requesting that individuals they supervise perform duties beyond the scope of their professional responsibilities.
9. Misappropriating property of the University or of the School or excessive use of University or School resources for personal business.

10. Discriminate against anyone who, in good faith, reports or participates in the investigation of an actual or suspected violation of University policy, including this Code.

#### 5.0 Procedure:

The School expects that all faculty demonstrate their willingness to adhere to the elements of the Code by reviewing and signing an Attestation Statement annually. All Department Chairpersons will be responsible for requiring faculty signatures (including Tenured Faculty) acknowledging receipt and understanding of the contents and expectations contained in the Code. The University will retain the Attestation Statements for a period no less than ten years.

#### 5.1 Newly Hired Faculty

Newly hired faculty, including but not limited to, full time, part time, adjunct, and volunteer faculty, will be expected to review and sign the Code of Ethical Conduct Attestation Statement within thirty days of employment/contract date.

#### 5.2 Returning/Emeritus Faculty

As part of the contract renewal process, all returning faculty will be expected to review and sign the Code of Ethical Conduct Attestation Statement each year and upon significant updates to the Code. Tracking of completion will be facilitated in joint effort by the Compliance Office and Office of Professional Oversight.

#### 5.3 Violations

Violations of ethical behavior as outlined by the Faculty Code of Ethical Conduct will be reported to the Office of Professional Oversight. Upon receipt of the report, the matter will be triaged to the Office of Faculty Affairs and Development, if deemed appropriate.

Reports will remain confidential unless imminent harm is suspected, there exists a suspicion of HIPAA violations, or there are breaches of federal regulations pertinent to fraud, waste, and abuse laws. All matters and subsequent follow-up will align with outlined policies and procedures in the 2017 Saint Louis University Faculty Manual.

#### 6.0 Sanctions:

Individuals who fail to comply with this policy and the procedures associated with it will be subject to disciplinary actions guided by the University's Faculty Manual. Noncompliance with this policy can result in disciplinary action, including but not limited to, restricted incentive payments, suspension, or termination. It may also result in the enforcement of a corrective action plan, as well as notification of the suspected misconduct and/or violation to government regulatory agencies.

Disciplinary actions appropriate to the severity of the infraction will be carried out as needed.

#### 7.0 Changes to this Policy:

Changes to this policy may be necessary from time to time. At a minimum, this policy and related procedures and guidelines will be reviewed on an annual basis or as necessary.

#### 8.0 Protection Against Retaliation:

At no time shall a person who in good faith reports a violation of this Code of Conduct be retaliated against for that reporting. Any individual who retaliates against another individual as a result of reporting known

or suspected improper activity shall be subject to appropriate disciplinary proceedings as set forth in the faculty, student, and staff handbooks.

9.0 Other Policies:

This policy is subject to such policies, procedures, rules, and guidance the University may choose to establish. A partial list of additional policies with which faculty are expected to comply may be found online at:

[Saint Louis University Mission](#)

[Saint Louis University Faculty Manual](#)

[By Laws of the Faculty of Saint Louis University School of Medicine](#)

[Saint Louis University School of Medicine Strategic Plan, April 2018](#)

[Policies and Procedures for Responding to Allegations of Research Misconduct](#)

[Office of Professional Oversight](#)

[Saint Louis University Cura Program](#)