

UNIVERSITY OF MARYLAND, BALTIMORE COUNTY

CODE OF ETHICS AND CONDUCT

UMBC is concerned with two broad kinds of conflict: (1) Conflicts of interest, which typically involve potential financial gain or personal benefit to an employee or related individuals; and (2) Conflicts of commitment, which typically arise when otherwise positive activities may compromise the fulfillment of an employee's basic job responsibilities to the University. Multiple university relationships with federal sponsors have the potential to create an actual or perceived conflict of interest. As such, UMBC has developed a "Code of Ethics and Conduct" to address expectations and responsibilities.

This Code is intended to meet the requirements of applicable federal law, including CFR 52.203-13 and 52.203-14, namely that UMBC, as a federal contractor, have a code of business ethics and conduct.

UMBC personnel subject to this Code include UMBC administrative and academic officers, faculty, employees, fellows, students (including student employees), and volunteers. In fulfilling the responsibilities of their positions at UMBC, UMBC Personnel are expected to adhere to and act in accordance with this Code and all laws, rules, regulations, policies, and procedures applicable to their UMBC activities.

This Code reflects the requirements of laws and policies that relate to ethical conduct, including the Maryland Public Ethics Law, the Maryland Whistleblower Law, and policies of the Board of Regents of the University System of Maryland (USM).

1) UMBC expects and requires all UMBC Personnel to:

- Uphold the highest standards of intellectual honesty and integrity in teaching, research, service, and administrative activity, and seek guidance, as needed, concerning the application of ethical standards to their UMBC activities.
- Act as good stewards of the resources entrusted to UMBC's care, and comply with financial requirements and internal controls applicable to funds and property managed by them and under their oversight.
- Comply with all laws, rules, regulations, policies, procedures, and professional standards, including the Maryland Public Ethics Law, applicable to their employment and their UMBC responsibilities, and cooperate with training and continuing education initiatives of UMBC to make them aware of their responsibilities.
- Comply with their assigned or assumed responsibilities to fulfill UMBC's obligations under contracts, grants, and other legal agreements.
- Disclose and avoid improper or unlawful conflicts of interest and conflicts of commitment.

- Report known or reasonably suspected wrongdoing; refrain from retaliating against those who report known or reasonably suspected wrongdoing; and cooperate fully with authorized investigations of reports of wrongdoing.

2) This Code does not address every situation or ethical dilemma that may be faced by UMBC Personnel in the course of their employment or other UMBC role. Each person is expected to exercise good judgment absent specific guidance from this Code or other policies and procedures. Each person is expected to consult an appropriate supervisor, faculty advisor, UMBC administrator, or other resource if the appropriate course of action is not clear.

3) Violations of this Code may result in disciplinary action, including termination of employment or periodic dismissal from academic programs. Violations that are criminal offenses will be referred for prosecution.

4) It is UMBC's responsibility to educate UMBC Personnel concerning this Code and related policies and laws. UMBC Personnel will be required to participate in periodic training concerning this Code and related policies and laws. UMBC offers a variety of on-line and/or in-person training opportunities to meet this need. Evaluations of UMBC Personnel's understanding of this Code and related policies and laws may be part of the training program.

For your information, the following are system and University policies and state ethics laws more specifically address conflicts of interest

[Policy and Procedures for Handling Allegations of Misconduct in Research and other Scholarly Activities](#) (UMBC III-1.10.01)

[Policy on Conflicts of Interest in Research or Development](#) (USM III-1.11)

[Policy on Individual Conflicts of Interest in Research & Product Development](#) (UMBC III-1.11.01)

[Interim Policy on Conflicts of Interest in PHS Research](#) (UMBC III-1.11.02)

[Maryland State Ethics Commission - Public Ethics Law](#)

[Maryland Whistleblower Law](#)

[Policy on Professional Commitment of Faculty](#) (USM II-3.10)

[Policy on Conflict of Interest and Conflict of Commitment](#) (USM II-3.10(A))

[Procedures on Conflict of Interest and Conflict of Commitment](#) (USM II-3.10(B))

[Policy on Intellectual Property](#) (USM IV-3.20(A))

For more information or with questions, please contact the Office for Research Protections and Compliance at 410-455-2737 or coi@umbc.edu.