

Insurance Institute of America Code of Academic and Professional Integrity

Academic and professional integrity is central to the mission of the Insurance Institute of America. Commitment to academic and professional integrity upholds the standards of conduct that the insurance profession values and relies on. To this end, we have established The Insurance Institute of America Code of Academic and Professional Integrity.

What is the purpose of this Code?

This code sets forth policies to uphold the integrity of Insurance Institute of America (IIA) designations and certifications by ensuring that all stakeholders adhere to high standards of academic honesty and professional conduct. It also serves to enhance the public perception of the integrity and professionalism of individuals in the insurance industry.

Why is the Code Important?

The Insurance Institute of America, in accordance with its mission to provide educational programs and professional certification to individuals in the insurance industry, has a commitment and obligation to ensure that those who receive our designations and certifications meet academic and professional standards. Integral to this objective is the importance of academic and professional integrity.

The Code of Academic and Professional Integrity contain rules and regulations governing behavioral conduct and represent a means by which the orderly development of appropriate behavior and honorable conduct are assured. The Code ensures that students and potential students maintain the highest standards of conduct in the academic and professional setting.

Academic and Professional Misconduct

It is not possible to list all acts of misconduct that can occur. In general, academic misconduct is conduct by which a student misrepresents his or her academic accomplishments or engages in conduct which is contrary to examination rules. Professional misconduct is conduct which is illegal or in violation of industry or professional regulations.

Disciplinary Rules, Procedures, and Penalties

I Applicability

These disciplinary rules, procedures, and penalties are applicable to designees, students and potential students of the Insurance Institute of America.

II Jurisdiction

- A. The investigation of an alleged violation of the Rules shall be carried out by the Executive Council of the AICPCU/IIA or its designee(s).
- B. Adjudication of all alleged violations of the Rules, except violations of the rules of conduct for examinations, shall be by a 3 person panel consisting of the following members of the AICPCU/IIA:
 - President
 - Secretary
 - Treasurer

III Rules

- A. Any use of any IIA designation is prohibited unless the party has earned the designation from AICPCU/IIA. Use includes, but is not limited to:
 - Websites
 - Resumes
 - Business cards
 - Job Applications
 - Certificates
- B. Any misrepresentation regarding CPCU or IIA course completion is prohibited.
- C. Any unauthorized use of Institute material, which does not constitute fair use, is prohibited.
- D. Any violation of the rules of conduct for examinations is prohibited.
- E. Any alteration or misrepresentation of a grade report is prohibited.

IV Procedures

- A. Complaints
 - (1) All complaints alleging a violation of the Rules, except violations of the rules of conduct for examinations, shall be submitted in writing and signed by the complainant, whether the complainant is an Institute employee, Institute contractor or vendor, prospective employer or its agent, or a member of the general public.
 - (2) Investigation of the alleged violation shall be carried out by the Executive Council of the AICPCU/IIA or its designee(s). Notice shall be given to the alleged violator of the investigation and the alleged violator will be afforded the opportunity to present an explanation to the Executive Council or its designee, either by personal conference, correspondence, telephone, or other means.

- B. Upon conclusion of the investigation, the findings will be presented to the 3 person panel of the AICPCU/IIA, as referenced in section II (B), with a recommendation that the complaint warrants disciplinary action or that the complaint warrants dismissal. The AICPCU/IIA panel will determine a time for the hearing to be held at the Institutes. Notice of the time and place of the hearing shall be given to the alleged violator and the alleged violator will be afforded the opportunity to present an explanation to the AICPCU/IIA panel, either by personal conference, correspondence, telephone, or other means. The AICPCU/IIA panel will then hold the hearing and vote on the recommendation. The decision will be by two-thirds majority. The decision of the panel is final.
- C. Alleged violations of the rules of conduct for examinations shall be submitted to the Assistant Vice President of Assessments for investigation. Final disposition of the alleged violation of the rules of conduct for examinations shall be approved by the Senior Vice President of Assessments.

V Penalties

- A. If the AICPCU/IIA panel determines that a complaint merits disciplinary action, the panel may impose or recommend as appropriate any penalty hereinafter described, provided that the severity of the penalty imposed shall be commensurate with the severity of the offense committed. The AICPCU/IIA panel may also consider all the circumstances surrounding the commission of any offense and the likelihood that the offender has been rehabilitated. Notification of the decision will be given to all interested parties.
- B. Penalties that may be administered or authorized in appropriate cases are as follows:
 - (1) Private admonitions, requesting the violator to cease and desist.
 - (2) Revocation or suspension of the privilege of admission to CPCU and IIA exams and publication of the penalty to all interested parties. The privilege of admission to CPCU and/or IIA exams may be reinstated upon submission of convincing proof of the designee's, student's or potential student's full and complete rehabilitation and review by the AICPCU/IIA panel. Reinstatement will be by two-thirds majority.
 - (3) Enforcement of intellectual property rights through available legal means.
- C. If the Assistant Vice President of Assessments determines a violation of the rules of conduct for examination has occurred he/she, in consultation with the Senior Vice President—Assessments, shall impose the following penalties:
 - (1) Removing the grade from the IIA's records and file an incident report in the student's record:

- (2) Revoking or suspending the privilege of admission to CPCU and IIA examinations for a period of time commensurate with the severity of the offense committed, and
- (3) Reporting the revocation or suspension to all interested parties.