

DRAFT

3.0

UFC Executive Committee

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Indiana University Code of Conduct

Cover Sheet

The purpose of this document is to explain the purpose and background of the proposed Indiana University Code of Conduct.

Explanation and Background

This is not a new policy. Instead, the purpose is to reflect and make existing policy easier to understand, apply, and use. The Code, in essence, is a “gateway” and a way to organize existing policy. In practical function, it could serve as a table of contents or index of existing policy.

By stating the general values and ethical goals of Indiana University, the purpose of this Code is to do the following:

- Provide a public statement of the values of Indiana University. By stating these values publically, it affirms our collective commitment to these values.
- Make standards and expectations known and accessible to all members of the university community. This aids in the understanding and implementation of existing policies furthering these values.

- Direct members of the university community and others to the compilation of existing [University Policies](http://policies.iu.edu/) online at <http://policies.iu.edu/>. This helps in the implementation and public understanding of the values, missions, and goals of Indiana University.

Sources for the Code

The text is modeled on a similar Code and format already in use by the [University of Minnesota](#). The Minnesota Code is used to inform and then direct members of the university community and others to existing and relevant policies.

Highlights of the Code

- § 1 — Persons Covered. The Code applies to all members of the Indiana University community. This includes Trustees, administrators, faculty and staff, and employees, as well as other persons using university facilities or volunteers and others speaking or acting on behalf of Indianan University.
- § 1 — No New Rights Created. The Code reflects existing policy. It is not meant to create rights or obligations in addition to any existing policies. Instead, the purpose is to help make people aware of and to help implement existing policies and to clarify individuals' obligations.
- § 2 — Values and Conduct. This section states core values and guiding principles inherent in existing university policy.
- § 3 — Standards of Conduct. This section lists ten different standards of conduct which implement core values reflected in the existing policies of Indiana University. The ten standards are as follows:
 - 1. Act Ethically and with Integrity.
 - 2. Be Fair and Respectful to Others.
 - 3. Manage Responsibly.
 - 4. Protect and Preserve University Resources.
 - 5. Promote a Culture of Compliance with Applicable Laws, Regulations, and Policies.
 - 6. Preserve Academic Freedom and Meet Academic Responsibilities.
 - 7. Ethically Conduct Teaching and Research.
 - 8. Avoid Conflicts of Interest and Commitment.

- 9. Carefully Manage Public, Private, and Confidential Information.
 - 10. Promote Health and Safety in the Workplace.
- § 4 — Delegation. This directs the President or delegate to ensure that appropriate administrative policies are maintained to support the Code and related policies by appropriate explanation, education, and evaluation.

Indiana University

Code of Conduct

SECTION I. SCOPE

This Code of Conduct applies to the following members of the Indiana University community:

- Members of the Board of Trustees;
- Faculty, staff, and administrators;
- Any individual employed by Indiana University, using Indiana University resources or facilities, or receiving funds administered by Indiana University; and
- Volunteers and other representatives when speaking or acting on behalf of Indiana University.

Students taking courses, attending classes, or enrolled in academic programs are governed by the Indiana University [Code of Student Rights, Responsibilities, and Conduct](#).

This Code reflects Indiana University Trustee policies and procedures. It does not create additional or different rights or duties.

SECTION II — GUIDING PRINCIPLES

§ 1 — Values.

In carrying out the research, teaching, and public service mission of Indiana University, members of the university community are dedicated to advancing the following core values of Indiana University:

- Excellence and innovation;
- Discovery and the search for truth;
- Diversity of community and ideas;

- Respect for the dignity of others;
- Integrity;
- Academic freedom;
- Stewardship and accountability for resources and relationships;
- Sharing knowledge in a learning environment;
- Application of knowledge and discovery to advance the quality of life and economy of the state, region, and the world; and
- Service as an institution of higher-learning to Indiana, the nation, and the world.

§ 2 — Standards of Conduct.

Community members are committed to the highest standards of ethical conduct and integrity. The standards of conduct in this Code of Conduct, supported through policies, procedures, and workplace rules, provide guidance for making decisions and memorialize Indiana University's commitment to ethical conduct and behavior.

SECTION III. — STANDARDS OF CONDUCT

Indiana University holds itself and community members to the following standards of conduct:

§ 1 — Act Ethically and with Integrity.

Ethical conduct is a fundamental expectation for every community member of Indiana University. In practicing and modeling ethical conduct, community members are expected to:

- Act according to the highest ethical and professional standards of conduct;
- Be personally accountable for individual actions;
- Conscientiously fulfill obligations towards students, advisees, colleagues, and in performing duties as part of the University community; and
- Communicate ethical standards of conduct through instruction and example.

§ 2 — Be Fair and Respectful to Others.

Indiana University is committed to tolerance, diversity, and respect for differences. When dealing with others, community members are expected to:

- Be respectful, fair, and civil;
- Speak candidly and truthfully;
- Respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own;
- Strive to be objective in their professional judgment of colleagues;
- Avoid all forms of harassment, discrimination, threats, or violence;
- Provide equal access to programs, facilities, and employment;
- Accept their share of responsibilities for the governance of their institution;
- Acknowledge and in good faith follow direction from those to whom they report; and
- Promote conflict resolution.

[Links to policies]

§ 3 — Manage Responsibly.

Indiana University entrusts community members who supervise or instruct employees or students with significant responsibility. Managers, supervisors, instructors, and advisors are expected to:

- Ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this Code of Conduct;
- Ensure compliance with applicable laws, policies, and workplace rules;
- Review performance conscientiously and impartially;
- Foster intellectual growth and professional development; and
- Promote a healthy, innovative, and productive atmosphere that encourages discussion and is responsive to concerns.

[Links to policies]

§ 4 — Protect and Preserve University Resources.

Indiana University is dedicated to responsible stewardship. Community members are expected to:

- Use university property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate university purposes;
- Not destroy or otherwise harm university property;
- Prevent waste and abuse;
- Promote efficient operations;
- Follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- Engage in appropriate accounting and monitoring.

[Links to policies]

§ 5 — Promote a Culture of Compliance with Applicable Laws, Regulations, and Policies.

Indiana University is committed to meeting legal requirements and to fostering a culture of ethics and compliance.

(a) Expectations — Community members are expected to:

- Learn and follow applicable laws, regulations, contracts, environmental health and safety policies, and Indiana University policies and procedures applicable to their University duties and responsibilities;
- Be proactive to prevent and detect any compliance violations;
- Report possible violations to supervisors or other University officials with the assurance that Indiana University policy prohibits retaliation against anyone who does so in good faith; and
- Ensure that reports of violations within their area of responsibility are properly resolved, including disclosure to sponsors or other state or federal authorities as appropriate.

(b) Prohibition — Community members are prohibited from:

- Willfully violating applicable laws, regulations, and policies; and

- Retaliating against another community member for reporting a suspected compliance violation.

[Links to policies]

§ 6 — Preserve Academic Freedom and Meet Academic Responsibilities.

Academic freedom is essential to achieving Indiana University’s mission. Community members are expected to:

- Promote academic freedom, including the freedom to discuss all relevant matters in the classroom;
- Explore all avenues of scholarship, research, and creative expression;
- Meet academic responsibilities to seek and state the truth as they see it;
- Develop and maintain their scholarly competence;
- Foster and defend intellectual honesty, and freedom of inquiry and instruction;
- In the exchange of criticism and ideas, show respect for those with differing views; community members are expected to allow others to express their views;
- Submit their knowledge and claims to peer review;
- Work together to foster the education of students;
- Speak or write as a public citizen without institutional restraint or discipline; and
- Acknowledge when they are not speaking for the institution.

[Links to policies]

§ 7 — Ethically Conduct Teaching and Research.

Indiana University researchers have an ethical obligation to the University and to the larger global community as they seek knowledge and understanding. Community members are expected to:

- Propose, conduct, and report research with integrity and honesty;
- Protect people and humanely treat animals involved in research or teaching;

- Learn, follow, and demonstrate accountability for meeting the requirements of sponsors, regulatory bodies, and other applicable entities;
- Faithfully transmit research findings;
- Protect rights to individual and University intellectual property;
- Ensure originality of work, provide credit for the ideas of others upon which their work is built, and be responsible for the accuracy and fairness of information published; and
- Fairly assign authorship credit on the basis of an appropriate array of significant intellectual contributions, including: conception, design, and performance; analysis and interpretation; and manuscript preparation and critical editing for intellectual content.

[Links to policies]

§ 8 — Avoid Conflicts of Interest and Commitment.

Indiana University is an institution of public trust. Community members have an obligation to be objective and impartial in making decisions on behalf of the University.

To ensure this objectivity, community members are expected to:

- Avoid individual or institutional conflicts of interest or conflicts of commitment in their assigned duties for the University;
- Disclose potential conflicts of interest and adhere to any management plans created to eliminate any conflicts of interest;
- Ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a community member; and
- Ensure their assigned duties for the University received their full effort, attention, and commitment.

[Links to policies]

§ 9 — Carefully Manage Public, Private, and Confidential Information.

Indiana University community members are the creators and custodians of many types of information. The public right to access and the individual's right to

privacy are both governed by laws and University policies. To meet these responsibilities, community members are expected to:

- Learn and follow laws and Indiana University policies and agreements regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;
- Follow document preservation and retention guidelines; and
- Maintain data security using electronic and physical safeguards.

[Links to policies]

§ 10 — Promote Health and Safety in the Workplace.

Indiana University community members have a shared responsibility to ensure a safe, secure, and healthy environment for all students, faculty, staff, volunteers, and visitors. Community members are expected to:

- Follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- Maintain security, including securing University assets and facilities;
- Report suspicious activities;
- Protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions; and
- Protect the health of others and themselves by not smoking or using tobacco on campus.

[Links to policies]

SECTION IV. — DELEGATION OF AUTHORITY

The President or delegate shall ensure that appropriate administrative policies are maintained to support this Code, and shall effectively promulgate this Code and any supporting administrative policies or procedures through appropriate and periodic explanation, education, and evaluation.