

Indiana University Principles of Ethical Conduct

SECTION I — SCOPE

These Principles apply to the following members of the Indiana University community:

- a. Members of the Board of Trustees;
- b. Any employee of the University, including administrators, faculty, staff, temporary, and student employees;
- c. Any individual using Indiana University resources or facilities or receiving funds administered by Indiana University; and
- d. Volunteers and other representatives when speaking or acting on behalf of Indiana University.

All of these individuals are collectively referred to as “Community Members.” Students taking courses, attending classes, or enrolled in academic programs are governed by the Indiana University [Code of Student Rights, Responsibilities, and Conduct](#).

These Principles are intended as a high level statement of values and expectations at Indiana University. The Principles themselves do not create additional or different rights or duties; rather, they help to promote an organizational culture that encourages ethical conduct and a commitment to compliance with the law and University codes, policies, and procedures.

SECTION II — GUIDING PRINCIPLES

§ 1 — Values.

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

- a. Excellence and innovation;
- b. Discovery and the search for truth;
- c. Diversity of community and ideas;
- d. Respect for the dignity of others;
- e. Integrity;
- f. Academic freedom;
- g. Stewardship and accountability for resources and relationships;
- h. Sharing knowledge in a learning environment;
- i. Application of knowledge and discovery to advance the quality of life and economy of the state, region, and the world; and
- j. Service as an institution of higher-learning to Indiana, the nation, and the world.

§ 2 — Commitment to these Principles.

Community Members are committed to the highest standards of ethical conduct and integrity. The standards of conduct in these Principles, 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:

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

§ 2 — Be Fair and Respectful to Others.

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

Indiana University Principles of Ethical Conduct

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

§ 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:

- a. Ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, laws, policies, and procedures, as well as these Principles;
- b. Ensure compliance with applicable laws, policies, procedures and workplace rules;
- c. Review performance conscientiously and impartially;
- d. Foster intellectual growth and professional development; and
- e. Promote a healthy, innovative, and productive atmosphere that encourages discussion and is responsive to concerns.

§ 4 — Protect and Preserve University Resources.

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

- a. Use all University property, including equipment, finances, materials, electronic and other systems, information, and other University resources only for legitimate University purposes and in accordance with University policies;
- b. Not harm University property;
- c. Prevent waste and abuse;
- d. Promote efficient operations;
- e. Follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- f. Engage in appropriate accounting and monitoring.

§ 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:

- a. Learn and follow applicable laws, regulations, contracts, environmental health and safety policies, and all Indiana University policies and procedures applicable to their University duties and responsibilities;
- b. Be proactive to prevent and detect any compliance violations or noncompliant activities;
- c. Report violations or noncompliance to supervisors or other University officials with the assurance that Indiana University policy prohibits retaliation against anyone who does so in good faith; and
- d. 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:

- a. Willfully violating applicable laws, regulations, and policies; and
- b. Retaliating against another Community Member for reporting a suspected compliance violation.

§ 6 — Preserve Academic Freedom and Meet Academic Responsibilities.

Academic freedom is essential to achieving Indiana University's mission. Community Members are expected to:

- a. Promote academic freedom, including the freedom to discuss all relevant matters in the classroom;

Indiana University Principles of Ethical Conduct

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

§ 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:

- a. Propose, conduct, and report research with integrity and honesty;
- b. Protect people and humanely treat animals involved in research or teaching;
- c. Learn, follow, and demonstrate accountability for meeting and ensuring compliance with the requirements of sponsors, regulatory bodies, and other applicable entities;
- d. Faithfully describe and transmit research data and findings;
- e. Protect rights to individual and University intellectual property;
- f. 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
- g. 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.

§ 8 — Refrain from 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:

- a. Prevent individual or institutional conflicts of commitment in their assigned duties for the University;
- b. Disclose potential conflicts of interest and adhere to any requirements created to manage or eliminate any conflicts of interest;
- c. Ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a Community Member or a student; and
- d. Ensure their assigned duties for the University receive their full effort, attention, and commitment.

§ 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:

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

§ 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:

- a. Follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- b. Maintain security, including securing University assets and facilities;
- c. Report suspicious activities and suspected abuse;

Indiana University Principles of Ethical Conduct

- d. Protect the environment, including learning and following applicable health and safety policies and protocol, and carefully handling hazardous waste and other potentially harmful agents, materials, or conditions; and
 - e. Protect the health of others and themselves by not smoking or using tobacco on campus, and maintaining a substance-free workplace.
- (Approved by the University Faculty Council October 29, 2013, Approved by the Board of Trustees December 5, 2013)