

## Northern Arizona University Faculty Code of Ethics and Conduct

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### **Purpose Statement**

Northern Arizona University is an extended community of students, faculty and staff devoted to learning. Members of our community construct, advance, transmit, and preserve knowledge through study, teaching, artistic expression, research, and scholarship. As a public university, we also have an obligation to serve the public interest. All who join this community gain important rights and accept equally important responsibilities. We uphold the principles of free expression, free inquiry, reasoned discourse, intellectual honesty, and the importance of high standards of academic and professional integrity. The development of the Code of Ethics and Conduct has been guided by these basic principles and influenced by other works including the Statement of Professional Ethics of the American Association of University Professors (1966; Revised, 1987 and 2009), ABOR (Arizona Board of Regents) policy (policies 6-201, 6-202, 6-301, 6-302), and the Policy and Procedure Manuals of the Arizona State University and the University of Arizona. Upholding high standards of ethics and conduct in one's professional activities are the responsibility of each individual member of our shared community. The responsibilities associated with these standards are evaluated across campus, including by, but not limited to, individual academic units and colleges, human resources, faculty grievance committees, the university ombuds office, and academic affairs.

The purpose of this document is to guide faculty, academic professionals, and administrative faculty in their professional endeavors and interactions with students, faculty, administrators, staff and the public. It provides standards and norms that are intended to be useful for the promotion, tenure, and comprehensive review processes and committees. While portions of the document discuss conduct governed by state and university policy, the document also contains language that is purposefully aspirational in nature and intended to promote positive faculty contributions rather than mandate specific outcomes and conduct. Faculty should follow all applicable state, ABOR, and local laws and regulations. Links to relevant online resources and official documents are included below each of the five sections below.

### **1. Teaching and Mentorship Ethics and Conduct**

As teachers, faculty members encourage the free pursuit of learning by their students. They hold before them the best scholarly and ethical standards of their discipline. Faculty members demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty members make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between faculty and students. They formally acknowledge academic or scholarly assistance from students in publications and creative works. They protect students' independence of thought and opportunities to engage in intellectual dialogue, including freely expressing disagreement.

The integrity of the faculty-student relationship is the foundation of the University's educational mission. This relationship vests considerable trust in the faculty member, who, in turn, bears authority and accountability as mentor, educator, and evaluator. A faculty member who is

responsible for the academic or administrative supervision of a student (such as occurs when instructing a course, contributing to graduate mentorship, or participating in administrative processes impacting the student) who is otherwise in a position to exert influence against or on behalf of a student, or who has or can reasonably expect to have an instructional or supervisory relationship with a student, is prohibited from having a consensual personal relationship (romantic or sexual in nature) with a student. Any such relationship jeopardizes the integrity of the educational process.

At Northern Arizona University, faculty:

- promote and protect students' academic freedom and freedom to pursue knowledge without interference;
- encourage students to participate in the free exchange of ideas and civil discourse;
- serve as models of the ethical standards of their disciplines and the academy;
- establish and maintain academic integrity and honesty in their classrooms;
- strive to implement NAU practices for teaching effectiveness: (1) apply intentional course design; (2) create an environment in which students can learn and thrive; and (3) manage the curriculum to ensure that courses meet the standards and requirements of each discipline;
- respect the privacy of students and maintain the confidentiality of student grades and other educational records, consistent with expected standards of ethical practice, including FERPA requirements;
- make reasonable efforts to accommodate student absences for reasons that may include, but are not limited to: health, religious observances and practices, death in the family, military service obligations, civic duty, and research and professional travel;
- never engage in the exploitation of students for personal advantage, or use unethical communication practices such as intimidation, degradation, humiliation, singling out, bullying, or verbally harassing students;
- never discriminate against a student on the basis of sex, race, color, age, national origin, religion, sexual orientation, disability, veteran status, gender identity and expression, genetic information, or other legally or policy protected status;
- never treat a student differently based on their political beliefs;
- never sexually harass or abuse students;
- never engage in consensual romantic or sexual relationships with students where the faculty member has, or can reasonably expect to have, an instructional or supervisory relationship, or is in a position of real or perceived authority, influence, or responsibility over the student;
- follow and uphold all policies applicable to faculty, including those promulgated by the Arizona Board of Regents, Northern Arizona University, and a faculty member's college and academic unit.

### **Resources and Links:**

*NAU Practices for Teaching Effectiveness:* <https://in.nau.edu/teaching-academy/inclusive-excellence-in-teaching-at-nau/>

*NAU Human Resources:* <https://in.nau.edu/human-resources/>

*NAU Nondiscrimination and anti-harassment policy:* <https://nau.edu/university-policy-library/nondiscrimination-anti-harassment/>

*Title IX office (Office for the Resolution of Sexual Misconduct):* <https://in.nau.edu/title-ix/>

*NAU Consensual relationships policy:* <https://nau.edu/university-policy-library/consensual-relationships/>

*NAU Policy Library:* <https://nau.edu/university-policy-library/>

## 2. Scholarly Ethics and Conduct

Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as informed by their scholarship. To this end faculty devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty and never allow conflicts of interest to compromise their freedom of inquiry.

At Northern Arizona University, faculty:

- adhere to and practice the highest standards of intellectual honesty and scholarly competence;
- comply with standards of ethical practice established within their fields of expertise and within the academic community in general;
- comply with the University's requirements regarding disclosing conflicts of interest, including working with supervisors and other appropriate offices who are responsible for determining if a conflict or potential for conflict exists and establishing plans to manage potential conflicts;
- when participating in research, scholarship, or creative activity, strive to expand their understanding and scholarly competence within their areas of expertise;
- give due credit to writings, research, artificial intelligence, or ideas of colleagues, students, and others, and do not plagiarize;
- comply with all relevant institutional policies and procedures when participating in research, scholarship, or other creative activities and/or when receiving and managing associated funding.

## 3. Collegial Ethics and Conduct

As colleagues, faculty members have obligations that derive from common membership in a community of scholars. Faculty do not discriminate against or harass colleagues. They respect and defend the free inquiry of colleagues, even when it leads to findings and conclusions that differ from their own. Faculty members acknowledge academic debt and strive to be objective in their professional judgment of colleagues and accept their share of responsibilities for the governance of their institution.

At Northern Arizona University, faculty:

- respect and defend the rights of their colleagues' academic freedom to express their professional perspectives and opinions about academic operations;
- attend and actively engage in regularly scheduled unit, college, and university meetings;
- provide objective and useful critiques of the professional opinions of their colleagues;
- maintain professional objectivity when making decisions affecting their colleagues;
- participate and strive to make meaningful contributions in committees, taskforces, and other collaborative groups that contribute to institutional shared governance and promote the overall vitality of the academic community;
- treat colleagues with respect and ensure that the free exchange of ideas in discussion and debate is conducted in a manner consistent with maintaining that respect;
- contribute to the professional development of colleagues;
- engage in collegial workplace behaviors when interacting with colleagues and strive to

- understand the impact on others of their own conduct;
- never discriminate against another faculty member on the basis of sex, race, color, age, national origin, religion, sexual orientation, disability, veteran status, gender identity and expression, genetic information, or other legally or policy protected status;
- treat colleagues with professional respect regardless of political perspectives or beliefs;
- never engage in harassing or abusive behaviors, including but not limited to bullying and defamation of colleagues;
- do not violate confidentiality rules governing personnel processes and decisions;
- take reasonable steps to resolve conflicts in a respectful manner using proper channels.

**Resources and Links:**

*University Ombuds program:* <https://in.nau.edu/university-ombuds-program/>

*NAU Nondiscrimination and anti-harassment policy:* <https://nau.edu/university-policy-library/nondiscrimination-anti-harassment/>

*NAU Conditions of Faculty Service:* <https://nau.edu/university-policy-library/conditions-of-faculty-service/>

**4. Institutional Ethics and Conduct**

As a member of an academic institution, faculty members seek above all to be effective teachers and scholars. Faculty members give due regard to their paramount responsibilities within their institution in determining the amount and character of any work done outside it. When considering the interruption or termination of their service, faculty recognize the effect of their decision upon the program of the institution and give due notice of their intentions. When serving as a faculty administrator, a university faculty member has obligations toward the students, academic staff members, and the institution which derive from one's common membership in the academic community. Faculty members extend professional respect to all personnel under their authority and work to advance the primary educational and scholarly goals and mission of the university.

At Northern Arizona University, faculty:

- follow the policies and processes established by ABOR and NAU, as well as the policies and processes appropriate to a faculty member's college and unit, and collaborate through shared governance to improve and refine university policies and procedures;
- obey the terms of disciplinary sanctions imposed for violations of applicable laws, regulations, policies, or the Code of Conduct;
- ensure that any work conducted outside the university does not interfere with their ability to fulfill their core professional responsibilities to the university, and is reported through appropriate processes;
- report absences to their chair or director and follow NAU leave reporting policies to ensure the continuity of instruction, research, scholarship and creative activity, and institutional service;
- strive to treat all members of the university with respect and courtesy and foster a collegial university community: including but not limited to supervisees, supervisors and staff;
- make an effort to inform their unit leadership of pending retirement or other intended changes to their university appointment;
- never misuse university resources, personnel, or computer systems.

**Resources and Links:** *Arizona Board of Regents policies 6-201, 6-202, 6-301, 6-302.*

## 5. Freedom and Responsibilities of Expression

As members of their greater community, faculty members have personal civic rights, freedoms, and obligations. When they speak or act as private citizens, they explicitly avoid creating the impression of speaking or acting on behalf of their college or university. As members of a profession that depends upon the principles of academic freedom, faculty members have a particular obligation to promote conditions of free expression and inquiry.

At Northern Arizona University, faculty:

- comply with the lawful directions of campus officials charged with the maintenance of public safety;
- comply with all applicable laws and policies, including but not limited to policies which provide guidance regarding the management of campus operations;
- act as responsible members of the campus community, with a special awareness of the importance of free expression;
- draw a clear distinction between expressing personal opinions and serving as a representative of the university or any of its units or offices;
- never purposefully interfere with the free expression of other members of the university community;
- never use the university's name or official logos or emblems to create the impression of university sanction for a personal and/or private activity or communication.

### Resources and Links:

NAU Freedom of Expression guidance: <https://in.nau.edu/campus-inclusion-team/freedom-of-expression/>; ABOR Policy 6-202;

NAU brand compliance: <https://legacy.nau.edu/university-policy-library/brand-compliance/>