

DUKE UNIVERSITY

Statement of Ethical Principles and Code of Conduct

I. STATEMENT OF PURPOSE

Duke University is an institution of higher education dedicated to excellence in education, research and patient care. Throughout its history, Duke has been dedicated to upholding the highest ethical standards in its students, faculty and staff. As stated in the Duke University Mission Statement, “by pursuing these objectives with vision and integrity, Duke University seeks to engage the mind, elevate the spirit, and stimulate the best effort of all who are associated with the university.”

II. SCOPE

This document serves as a statement of principles and responsibilities for the full Duke community. Members of the Duke University, including Duke University Health System (DUHS), community include trustees, senior officials, faculty, staff, students, student employees, student leaders and university-authorized volunteers acting on behalf of Duke.

III. STATEMENT OF ETHICAL PRINCIPLES

This Statement of Ethical Principles sets forth overarching ethical principles to which members of the Duke University community are expected to adhere. These ethical principles are intended to provide a foundation for conduct in support of the university's mission. This Statement of Ethical Principles should be used as a general guide in making ethical decisions that affect the Duke University community.

These Principles also can be found in various forms in separate codes of conduct, policies and procedures of the Duke University community, including the Duke Guiding Principles, the DUHS Values and the Duke Community Standard.

The university community is diverse – in race, ethnicity, gender, sexual orientation, background, age, religion, abilities and in many other ways. The actions of each member have an impact upon the culture of inclusion and respect for which we strive as a community. The university is committed to free inquiry, free expression, and the vigorous discussion and debate upon which the advancement of its multifaceted mission depends. All members of the university community are expected to respect the rights of others regardless of their differences or points of view.

As stewards of university resources, we are expected to exercise sound judgment in the performance of our responsibilities and to ensure that all university resources are used prudently, ethically and for their designated purposes.

All members of the Duke University community should conduct their activities with integrity, both in fact and in appearance. Activities, pursuits or interests that detract from the ability to perform our duties or affect independence and objectivity of judgment should be avoided. We

should demonstrate sensitivity in identifying potential conflicts of interest or commitment, whether of a financial, personal or professional nature. It is impermissible to use positions of authority to secure private, personal advantage or gain.

IV. CODE OF CONDUCT

Responsibility for Complying with Law

All members of the Duke University community are expected to comply with applicable laws, regulations and university policies. When these laws, regulations or policies are unclear, we are expected to take it upon ourselves to obtain clarity. Confidentiality of individuals reporting violations of laws, rules or policies will be maintained to the extent practicable, and individuals reporting violations in good faith will be protected from retaliation.

Because of the wide variety of activities which occur across Duke, there are hundreds of laws and regulations that apply. The most common are listed below. The web site references give more information about these requirements, to what they apply and how Duke complies with them. Most policies related to faculty, staff and students can also be found at the following websites:

- Faculty Handbook: <http://provost.duke.edu/faculty-resources/policies/>
- Staff Handbook: <http://www.hr.duke.edu/policies/index.php>
- Duke Policies Web Site: <http://web.duke.edu/policies/index.php>
- DUHS Policies:
<https://egrc.duhs.duke.edu/foundation/Workspace.aspx?workspaceId=-1&requestUrl=> (requires employee login)
- Student Policies: <http://web.duke.edu/policies/students/index.php>

In addition, School of Medicine and School of Nursing faculty and staff and DUHS personnel are subject to the Duke Medicine Code of Conduct, Integrity in Action:
<https://intranet.dm.duke.edu/compliance/SitePages/Code%20of%20Conduct.aspx> (requires employee login).

Managers and supervisors are responsible for knowing the legal and regulatory requirements that pertain to their areas of oversight and responsibility. They are responsible for determining and ensuring that each community member has adequate knowledge in order to do his/her work correctly and receives appropriate information and training on an ongoing basis.

Computer Use and Security: <https://hr.duke.edu/policies/expectations/use-computing-electronic-resources> Duke's policies are designed to balance the free exchange of ideas in support of the academic mission and the need for security of critical, sensitive and regulated information.

Confidentiality: <https://hr.duke.edu/policies/expectations/confidentiality> Duke retains confidential records for a variety of business needs, much of which must be kept confidential as a matter of federal and state law. Members of the Duke community are expected to protect Duke information by properly safeguarding it, whether it is in use or not, and discussing it only with those who have a legitimate business need to know.

Conflicts of Interest and Commitment Policies: Community members should familiarize themselves and comply with the Duke policies on Conflicts of Interest and Conflicts of Commitment and disclose potential conflicts as required by these policies.

- Financial Conflict of Interest
- Institutional Conflict of Interest
- Conflicts of Commitment, Staff (Staff Handbook)
- Conflicts of Commitment, Faculty (Faculty Handbook)

Environmental Health and Safety: <http://www.safety.duke.edu/> Duke must comply with laws that protect the environment and promote workplace safety. Duke must operate its facilities with all necessary permits, approvals and controls, especially with respect to handling and disposing of hazardous materials and waste. Anyone working with or around these materials must be familiar with the statutes, regulations and policies that apply to them.

Financial: <http://web.duke.edu/policies/financial/index.php> Proper stewardship of university and DUHS funds is the responsibility of all employees involved in financial transactions. Duke funds may only be used for necessary and reasonable business-related expenses incurred in the furtherance of Duke's missions. Dishonesty in all forms, fraud, theft and similar behaviors are all failures of integrity that undermine the whole Duke community. The university and DUHS receive funding from a variety of sources that carry with them fiduciary responsibilities.

Human Resources and Personnel: Duke is committed to a work environment free of harassment and disruptive behavior and to an equal opportunity work environment where every member of the Duke community is treated with fairness, dignity and respect. No one shall discriminate against any individual on the grounds of race, ethnicity, gender, sexual orientation, gender identity, religion, age, disability or any other factor protected under law. Specific policies related to these and other human resources issues can be found on the Human Resources policy website, <https://www.hr.duke.edu/policies/index.php>. Policies related to DUHS employees can be found through its intranet with employee login at: <https://egrc.duhs.duke.edu/foundation/Workspace.aspx?workspaceId=-1&requestUrl=>.

Research Integrity: Research at Duke is integral to its mission and must always be conducted to the highest ethical standards and in compliance with all applicable laws, regulations, policies and contractual obligations. The details related to how Duke supports these efforts are below:

- Campus: <http://www.ors.duke.edu/orsmanual/policies-responsible-conduct-research>
- Duke Medicine: <http://medschool.duke.edu/research/misconduct-research>
- Faculty Handbook, Appendix P: <https://provost.duke.edu/faculty-resources/faculty-handbook/>

Additional Research Oversight

Animal Research: [Office of Animal Welfare Assurance \(OAWA\)](#) Duke must ensure that it complies with all applicable laws and policies concerning animal research. The Animal Welfare

Hotline, 919-684-3535, is a dedicated hotline for reporting issues related to animal welfare concerns.

Human Subjects: Duke is responsible for ensuring that research with human subjects takes place with the highest levels of protections for the individuals involved and must comply with all applicable laws and policies. Information on these protections is available through the Duke Institutional Review Boards, <https://ors.duke.edu/research-with-human-subjects> and <http://irb.duhs.duke.edu/>, and through its voluntary accreditation by the Association of Accredited Human Research Protection Programs, <http://www.aahrpp.org/>.

Sponsored Research: Faculty and staff who are involved in federally sponsored research must strictly follow all laws and procedures related to that work. Violations can result in the loss of funds from grants and contracts and, in some instances, civil fines and criminal penalties. Compliance support is available through the Research Costing Compliance office or the research support offices. Further information on each can be found on the following websites:

- Research Costing Compliance: <http://finance.duke.edu/research/>
- Campus: The [Office of Research Support](#) (ORS)
- Duke Medicine: The [Office of Research Administration](#) (ORA)

V. REPORTING CRIMINAL BEHAVIORS

Students, employees, patients and visitors are to report accurately and immediately any criminal offense, or suspected criminal activity, directly to the Duke University Police Department (DUPD). The DUPD can be reached via its website at <http://www.duke.edu/police/index.php> or by calling 911 for emergencies on campus or 919-684-2444 for any issues or concerns.

VI. REPORTING OTHER VIOLATIONS OR CONCERNS

Each community member is expected to report violations or concerns about violations that come to his/her attention. Managers have a special duty to adhere to the standards set forth in this document, to recognize violations, to report through applicable channels and to enforce the standards. Violations of applicable laws, Duke policies and standards, and retaliation against anyone who reports possible violations may result in an adverse employment action as well as civil and criminal charges.

How to Report a Violation or Discuss a Concern

In most cases, you should report violations or concerns to your immediate supervisor or department head, if appropriate. You also may directly contact Duke's Office of General Counsel, Duke Human Resources or either of the Duke compliance offices listed below. You may also choose to contact one of the area-specific support areas.

Duke University Compliance Program	919-684-2475
DUHS Compliance Office	919-668-2573

If you wish to report a concern anonymously, you may call either of the compliance hotlines established for this purpose. These hotlines are answered by a third party and the information gathered is referred to the appropriate compliance office for follow-up and appropriate action.

Duke Compliance and Fraud Hotline	800-849-9793
Duke Medicine Integrity in Action Hotline	800-826-8109

Contact information and links to information about the Duke compliance offices, as well as the current Statement of Ethical Principles and Code of Conduct, may be found on the Duke University Compliance Program website: <https://oarc.duke.edu/>.

If you have concerns about a Duke student's behavior or health, visit the DukeReach website for resources and assistance: <http://www.studentaffairs.duke.edu/dukereach>.