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QUESTIONS

How should “ethics” inform and define the life of an R1 public university in the twenty-first century? President Michael Crow has defined “ethics” as one of the three pillars of ASU across all campuses of the New American University. “Ethics” can interchangeably refer to values as well as normative principles. What clusters of ethics words (values and principles) would be the most innovative and effective tools for the mission statement and institutional ethics policies of Arizona State University? What could further strengthen ASU’s leadership among large public institution of higher learning?

This is a study of selected ethics policies and major statements on ethics and values at some of Arizona State University’s peer institutions, other public universities, and private schools with and without religious affiliations.

In examining the statements about ethics, mission, and policies of major public and private universities, I have identified three categories of statements made about ethics. Some of the mission statements about institutional ethics differentiate these categories, while others do not distinguish them in a definitive manner. Moreover, several of these category distinctions occur in the guiding statement for the “Task Force on Institutional Ethics and Integrity at Arizona State University.” This is the distinction indicated by words such as “institutional ethics” and “integrity”: the latter word is a value-laden word; the former concept implies a normative principle.

In my study, I propose that the strongest, most coherent, and effective statements about institutional ethics use some combination of value claims and normative principles. If this is true, then crafting and implementing a cutting edge vision of “institutional ethics” as one of the major pillars of ASU could be further strengthened by using these categories both forcefully and creatively.

THEORETICAL BACKGROUND

I have identified the following major groups of categories or types of statements about ethics that can be found in the policies or mission statements of major American universities.

*The Ethical Good(s) – Community:
Eudaimonistic Framework*

*The Moral Right(s) – Norms, Rights, Obligations, Rules Governing Behaviors and Conduct:
Deontological Framework*

*Communicative Ethics – Procedural Justice Governing Educational Institutions and Policies:
Discourse Ethics Framework*

UNDERSTANDING ETHICAL FRAMEWORKS

1. *The Ethical Good(s) - Eudaimonistic Framework*

The first type of statements is about the ethics of the good. They arise from the eudaimonistic, Aristotelian and classical natural law ethics. These statements allow for the most effective “branding” by values and character, the type of “being” (or goods) that the university “x” *is*. And this category will have the strongest emphasis among institutions with religious origins. In many ways, going back to Plato’s Academy, Paris University and Harvard as examples, all universities have traditional origins. On the other hand, some of the oldest Jesuit universities emphasize their brand both by character and value and vibrant presence in the modern world, and they do so in ways that public universities can envy but must reinvent in their own postsecular and pluralistic environment. For example, Santa Clara University’s statement is rooted in this category while expanding its traditions into modernity (see the table below).

2. *The Moral Right(s) - Deontological Framework*

The second type of statements is about norms governing behaviors and conduct. These claims arise from deontological morality with stress on right conduct, honor codes, rule-governed behaviors, and relationships among all those involved in the institutional life. This category spells out student and employee rights and duties (see USC, table below).

3. *Discourse Ethics Framework*

The third type of statements refers to principles and procedures of justice found in normative discourse and deliberative democracy. Thus, discourse ethics governs the ways in which the institution and its branches operate in order to create a community in which all those who are affected by their adopted frameworks of rights and goods can participate in equal measure also in their validating those rights and goods (see Harvard, table below).

ETHICS (AND MORALS), MORALITY, DISCOURSE ETHICS

The framework of *ethics* applies most adequately to the value statements under the category 1 above. Hegel used the concept of ethical life, *Sittlichkeit*, when speaking about the Aristotelian communitarian ethics of custom, a form of life, the good(s). Some people refer to *morals* in the sense of persons or groups exhibiting a character. But having an ethic or morals (or wanting

people to have them) is not the same as applying consistently a theoretical framework to formulate an institutional policy on ethics.

The word *morality* applies most adequately for the deliberative duty and rights statements used under category 2 above. Hegel distinguished morality, *Moralitaet* (the Kantian deontology, the *moral* point of view) from ethics in the Aristotelian sense. The basic theoretical distinction is thus between the good (1) and the right (2), traditional and modernist perspectives on how humans think about normative conduct.

The concept of *discourse ethics* applies most adequately to procedural justice and communicative-ethical approach under category 3 above. John Rawls and Jürgen Habermas proposed to integrate the frameworks of ethics and morality (1 and 2 above) in a robust institutional form of life rooted in procedural justice whereby normative claims can be introduced, discussed, accepted or rejected. For example, conflicts between some pro-choice and pro-life positions, or between proponents of the right to gay or plural marriage and those who oppose such rights as unethical would be settled in a normative discourse of all those affected by the outcome rather than decided by an appeal to this or that value or tradition or authority.

EXAMPLES OF EVALUATIVE STATEMENTS

ETHICS, VALUES (GODDS)	MORAL CONDUCT (RIGHT)	PROCEDURES (DISCOURSE ETHICS):
<p>Excellence stems from a great sense of pride in who we are and what we believe in.</p> <p>Character is destiny.</p> <p>Leadership - Follow me.</p> <p>Loyalty and respect for tradition is about a sense of belonging to something greater than you.</p>	<p>Ethical behavior is predicated on two main pillars:</p> <p>1/ a commitment to discharging our obligations to others in a fair and honest manner</p> <p>2/ a commitment to respecting the rights and dignity of all persons</p> <p>We've done away with "diversity" and expanded it to include diversity, equity, and inclusion. We decided it's not enough to just be different together. We want cultural encounters that lead to happy accidents. Cross-pollination that leads to new perspectives.</p>	<p>Although we recognize that our various units have distinctive missions, cultures, and ways of doing business, it is important that we, as a community, embrace certain values as a means of creating and sustaining an environment of trust and mutual understanding.</p> <p>The significance of dignity and respect for all who work on this campus.</p> <p>Tangible compensation for service workers with suggested measures to improve the quality of work life.</p> <p>The fundamental relationships upon which our university is based are those between individual students and individual professors; thus, such relationships are especially sacred and deserve special care that they not be prostituted or exploited for base motives or personal gain.</p>

OUTCOMES OF THE STUDY

One of the surprising outcomes of this study is not just a realization that at a public, pluralistic university, one has no choice but to embrace the impact of modernity (and there is more than one modernity) on our views of the world. The Enlightenment in the West has shaped, for better or worse, how we develop now our normative thinking about the good and the right. This realization has been part of the initial assumptions that are appealed to even by traditionalists or those who wish to introduce “morals” into this allegedly immoral America or into the “new American university.” As Jason Robert pointed out in his comments on this report, “The challenge, though, is that particular outcomes – no matter how democratically derived – may be worse than others. That is, we might aspire to more, normatively, than what’s arrived at deliberately. How might we grapple with this?”

And yet ASU does not need a stronger pillar of “ethics” (in some classical sense of ethics as custom) because presumably the institution or its constituents lack morals. Rather than a throwback to authority or beliefs or tradition, the cutting edge public institution like ASU must be a leader in how all of us in the global world can make our case in value conflicts within the context of post-modernity where no overarching public goods exist in the same manner or for everyone. When the refugees arriving to Europe today come to ASU, they need to identify with their institution of higher learning as the best safe haven and future path to forge out of the world conflict zones.

The really surprising outcome has been a discovery that what I called the third category (discourse ethics) may be the most fitting normative framework for a large, pluralistic, public institution such as ASU. Indeed, ASU has been employing discourse ethics implicitly in some of its own formulations. The task force on institutional ethics at ASU has used some of this creative language in the final document.

SUMMARY

President Michael Crow has repeatedly emphasized that ASU needs ethics to define its own brand,¹ but he also stressed that at a large public institution there may be no clear way to institute a set of communitarian values to provide an overarching good governed by a single tradition. As much as some administrators may envy some private universities that are able to institute ethics from within their old traditions (e.g., the Jesuit brand), public institutions which aspires, like ASU, to define ethics as one of its core pillars in the twenty-first century, do need to invent a novel, postmodern way to form the vibrant communities of heart.² How can students and alumni of large public universities form solidarity, belonging and responsibility by adhering to more than a rule-governed relationship of duty and rights that tie them to their alma mater? To find a proper language for this innovation in ethics, morality, and justice is the challenge of the novel brand that the New American University represents.

	inclusiveness.	Engagement Diversity			
University of Kansas	Since its founding, the University of Kansas has embodied the aspirations and determination of the abolitionists who settled on the curve of the Kaw River in August 1854. Their first goal was to ensure that the new Kansas Territory entered the union as a free state. Another was to establish a university.		<i>Eudaimonistic Framework</i> & <i>Deontological Framework</i>		
University of Nebraska–Lincoln	<p>Core Values</p> <p>Learning that prepares students for lifetime success and leadership;</p> <p>Excellence pursued without compromise;</p> <p>Achievement supported by a climate that celebrates each person’s success;</p> <p>Diversity of ideas and people;</p> <p>Engagement with academic, business, and civic communities throughout Nebraska and the world;</p>	<p>Belief Statement (students)*</p> <p><i>We Believe:</i></p> <p>That a quality education enriches our lives,</p> <p>That giving our full effort to all that we do is essential to our success,</p> <p>That people are our school’s most valuable resource,</p> <p>That continuous learning is important to attain personal growth and sustain leadership</p> <p>That we benefit from the support of alumni and us, in turn, will give our support to the next generation of students.</p>	<i>Eudaimonistic Framework</i> & <i>Deontological Framework</i>	<p>*Written by the Ethics Committee of the CBA Student Advisory Board in collaboration with the Business Ethics Program. Student survey results, student organization input and faculty feedback were incorporated into the Code. It is suggested that the Code be revisited and potentially revised every five years to maintain current student body relevance.</p> <p>Honesty:</p>	

	<p>Research and creative activity that inform teaching, foster discovery, and contribute to economic prosperity and our quality of life;</p> <p>Stewardship of the human, financial, and physical resources committed to our care.</p>		<p>Student Ethics Code*</p> <p>Integrity: We will accept responsibility for our actions and hold others accountable for theirs. We will adhere to our moral principles in all situations and support others in doing the same.</p> <p>Respect & Compassion: We will treat others with fairness, respect and compassion. We will create a culture of inclusiveness by welcoming the diversity in our ideas, beliefs and backgrounds.</p>	<p>We will be sincere and authentic in our communications and interactions with others. We will strive to create an environment of trust by being honorable and trustworthy.</p> <p>Professionalism We will learn and adhere to the ethical standards of our chosen professions. We will strive for continuous learning by participating in the educational opportunities presented to us.</p>
University of Texas at Austin ⁴	<p>Core Values</p> <p>Learning — A caring community, all of us students, helping one</p>	<p>Student Honor Code</p> <p>As a student of The University of Texas at Austin, I shall abide by the core values of the University and uphold academic integrity.</p>	<p><i>Eudaimonistic Framework</i></p> <p>&</p> <p><i>Deontological Framework</i></p>	<p>code of ethics of Texas educators</p> <p>https://uteach.utexas.edu/sites/default/files/files/Code_of_Ethics_and Standar</p>

	<p>another grow.</p> <p>Discovery — Expanding knowledge and human understanding.</p> <p>Freedom — To seek the truth and express it.</p> <p>Leadership — The will to excel with integrity and the spirit that nothing is impossible.</p> <p>Individual</p> <p>Opportunity — Many options, diverse people and ideas, one university.</p> <p>Responsibility — To serve as a catalyst for positive change in Texas and beyond.</p>	<p>University Code of Conduct</p> <p>The core values of The University of Texas at Austin are learning, discovery, freedom, leadership, individual opportunity, and responsibility. Each member of the university is expected to uphold these values through integrity, honesty, trust, fairness, and respect toward peers and community.</p> <p>The Texas educator shall comply with standard practices and ethical conduct toward students, professional colleagues, school officials, parents, and members of the community and shall safeguard academic freedom.</p> <p>The Texas educator, in maintaining the dignity of the profession, shall respect and obey the law, demonstrate personal integrity, and exemplify honesty.</p> <p>The Texas educator, in exemplifying ethical relations with colleagues, shall extend just and equitable treatment to all members of the profession.</p>		<p>d%20UPDATE.pdf</p>
<p>Temple University</p>	<p>Core values:</p> <p>Ethics: upholding and promoting ethical standards and the integrity of student academic records</p> <p>Service: consistently providing quality, fair, and equitable service to the University community</p>	<p><i>Eudaimonistic Framework</i></p> <p>&</p> <p><i>Deontological Framework</i></p>		

	<p>Respect: being honest, ethical, and respectful in our interaction with each other and the University community</p> <p>Learning: enhancing student success by broadening our collective knowledge and sharing that knowledge with each other and the University community.</p> <p>Effective, open, and proactive communication.</p> <p>Advocating for practice that ensures the quality and integrity of student academic record keeping.</p> <p>Enhancing quality, innovation, and effectiveness in the management and delivery of student services.</p> <p>Creating and sustaining an environment that fosters life-long learning and continuous professional development</p>		
<p>UA peer</p> <p>Texas A & M⁵</p>	<p>Excellence - Set the bar. Polaroid-style photo of a researcher adding chemicals to a test tube. Excellence stems from a great sense of pride in who we are and what we believe in.</p> <p>Integrity - Character is destiny. Polaroid-style photo of a girl studying in the library The Aggie Code of Honor which Aggies recite by heart: 'Aggies do not lie, cheat or steal nor tolerate those that do' shows what goes to the heart of being an Aggie.</p> <p>Integrity was the core value that A&M gave me more of than any other. It helped me succeed in my career because my fellow professionals, clients and friends knew that they could rely on me and my word.</p> <p>Leadership - Follow me. Polaroid-style image of students in graduation gowns celebrating If you don't want to be a leader of character, don't come here.</p> <p>Loyalty - Acceptance forever. Polaroid-style photo of fans singing the Aggie War Hymn at a football game. Through unity, strength.</p> <p>I'm proud to be a part of a family that will always</p>	<p><i>Strong appeals to tradition and community reflect emphasis on Eudaimonistic Framework</i></p>	

	<p>be there for me that's 48,000 members strong...and that's not counting all those that came before or will come after.</p> <p>Loyalty and respect for tradition is about a sense of belonging to something greater than you. You're a part of a history of traditions...of a larger community.</p> <p>Respect - We are the Aggies, the Aggies are we. Polaroid-style image of two senior cadets lowering the American flag from the university flagpole. A&M students aren't just joining a university, they're joining a lifelong family that understands the value of loyalty, camaraderie, and unconditional support.</p> <p>A&M students embody a refreshing spirit: born of the values of friendliness, caring, support, confidence and a can-do attitude.</p> <p>Selfless Service - How can I be of service? If I had to tell you about Aggie values in one sentence I would simply ask the question: How can I be of service? - Current Texas A&M Student</p> <p>Polaroid-style photo of a student working on a flower bed during The Big Event A&M encourages volunteerism, encourages being one of a thousand points of light, helping others... and it comes naturally to Aggies.</p>		
<p>University of California, Berkeley ⁶</p> <p>University Statement of Ethical Values</p> <p><i>"Members of the University of California community are committed to the highest ethical standards in furtherance of our mission of teaching, research and</i></p>	<p>The Statement of Ethical Values identifies the University of California's core ethical values as:</p> <p>Integrity, Excellence, Accountability, and Respect.</p> <p>In summary, we are committed to the following:</p> <ol style="list-style-type: none"> 1. Fair Dealing. 2. Individual Responsibility and Accountability. 3. Respect for Others. 4. Compliance with Applicable Laws and Regulations. 	<p><i>Creatively reworked modernist approach to classical Eudaimonistic Framework that allows for pluralism</i></p> <p>&</p> <p><i>Deontological Framework</i></p>	<p><u>Standards of Ethical Conduct</u> are a statement of our belief in ethical, legal and professional behavior in all of our dealings inside and outside the University."</p> <p>~ The Regents of the University of</p>

<p><i>public service. We recognize that we hold the University in trust for the people of the State of California. Our policies, procedures, and standards provide guidance for application of the ethical values ... in our daily life and work as members of this community</i></p>	<p>5. Compliance with Applicable University Policies, Procedures and Other Forms of Guidance.</p> <p>6. Conflicts of Interest or Commitment.</p> <p>7. Ethical Conduct of Research.</p> <p>8. Records: Confidentiality/Privacy and Access. We will follow applicable laws and University policies when accessing, using, protecting, or disclosing records.</p> <p>9. Internal Controls.</p> <p>10. Use of University Resources</p> <p>11. Financial Reporting.</p> <p>12. Reporting Violations and Protection from Retaliation.</p> <p>.</p> <p><i>“Pursuit of the University of California mission of teaching, research and public service requires a shared commitment to the core values of the University as well as a commitment to the ethical conduct of all University activities</i></p>		<p><i>California</i></p>
<p>University of Oregon</p>	<p>Long live diversity.⁷</p> <p>We’ve done away with “diversity” and expanded it to include diversity, equity, and inclusion.</p> <p>We decided it’s not enough to just be different together. We want cultural encounters that lead to happy accidents. Cross-pollination that leads to new perspectives. We want thousands of bright students from Oregon, America, and around the world, learning from each other. Working and sharing with each other. Discovery and excellence demand it.</p> <p>So we demand it. At every level. We know the differences between us make us stronger and smarter.</p>	<p><i>Creatively reworked postmodern</i></p> <p><i>Eudaimonistic Framework that allows for pluralism</i></p> <p><i>&</i></p> <p><i>Deontological Framework</i></p>	

<p>PRIVATE, RELIGIOUS</p> <p>Santa Clara University</p>	<p>SCU's academic approach is informed by a 450-year-old Jesuit tradition of educating the whole person.</p> <p>With emphases on ethics, global issues, service to others, critical thinking and reflection,</p> <p>Stress on values-based education as the ideal framework for 21st-century citizenship.</p>	<p><i>Creatively reworked modernist approach to classical Eudaimonistic Framework that allows for pluralism</i></p> <p>&</p> <p><i>Deontological Framework</i></p>	
<p>Private, non-sectarian</p> <p>University of Southern California</p>	<p>Although we recognize that our various Schools and units have distinctive missions, cultures, and ways of doing business, it is important that we, as a community, embrace certain values as a means of creating and sustaining an environment of trust and mutual understanding.</p> <p>The significance of dignity and respect for all who work on this campus, and coupled its recommendations concerning tangible compensation for service workers with suggested measures to improve the quality of work life.</p>	<p><i>Traditional, religiously anchored Eudaimonistic Framework matched with</i></p> <p><i>& modernist, pluralistic & Deontological Framework</i></p>	<p>USC's stature as an ethical institution. The "Statement of Values" articulates basic values reflected in policy and practice throughout the University</p>

<p>PRIVATE, IVY LEAGUE</p> <p>Harvard University</p>	<p>Ethical behavior is predicated on two main pillars:</p> <p>1/ a commitment to discharging our obligations to others in a fair and honest manner 2/ a commitment to respecting the rights and dignity of all persons.</p> <p>Although we recognize that our various Schools and units have distinctive missions, cultures, and ways of doing business, it is important that we, as a community, embrace certain values as a means of creating and sustaining an environment of trust and mutual understanding.</p> <p>As faculty, staff, students, and trustees, we each bear responsibility not only for the ethics of our own behavior, but also for building USC's stature as an ethical institution.</p> <p>The significance of dignity and respect for all who work on this campus, and coupled its recommendations concerning tangible compensation for service workers with suggested measures to improve the quality of work life.</p> <p>We recognize that the fundamental relationships upon which our university is based are those between individual students and individual professors; thus, such relationships are especially sacred and deserve special care that they not be prostituted or exploited for base motives or personal gain.</p>	<p><i>Creative transformation of Eudaimonistic Framework is matched with modernist, pluralistic Deontological Framework and points to the</i></p> <p><i>Discourse Ethics Framework (Rawls, Habermas, Sandel)</i></p>	<p>The "Statement of Values" articulates basic values reflected in policy and practice throughout the University</p>
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<p>ASU</p> <p>Public R1</p> <p>Given the sheer number and diversity of ethical values represented in our research, the heterogeneity of ASU’s constituents, and the practical complexity of ethical (and meta-ethical) deliberation, Task Force members are to be commended for the quality, character, and integrity of their earnest efforts to define the appropriate organizational and operational culture for ASU.</p>	<p>Respect is an overarching & foundational value. Valuing oneself & others as worthy of care & consideration. Respecting ASU as a dynamic institution, and demonstrating respect for its constituents and their various roles and capacities—its students, faculty, staff, along with the communities intersecting the University. Respect captures concern for the intrinsic worth of individuals and communities as a common yet diverse ground for promoting personal development and social change.</p> <p>Integrity is a character-driven commitment to honesty, doing what is right, and guiding others.</p> <p>Responsibility is accountability for actions and impacts. Sun Devils should articulate and embrace their responsibility. Responsibility blends personal, organizational and societal components, reflecting a commitment to the value of constructive work and dedication to achieving goals as well as judicious reflection on the worth of those goals and the alternative ways to work toward them.</p> <p>Selfless service involves genuinely caring about others, empathizing and collaboratively acting with them to co-create interpersonal developmental experiences. It places the welfare of students, faculty, staff and the community needs above personal needs. It exemplifies affirmation, uplift, and a commitment to improving our world and well-being.</p> <p>The integration of key ethical values into the fabric and communication of the ASU brand and throughout the organization:</p>	<p><i>Creative transformation of Eudaimonistic Framework is matched with modernist, pluralistic Deontological Framework and points to the</i></p> <p>&</p> <p><i>Discourse Ethics Framework</i></p>	<p>The Task Force on Institutional Ethics and Integrity</p>
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¹I do not have an authoritative source, hence it is a paraphrase, but I have heard President Crow utter some such words (because they stuck to my memory as something to ponder) when he visited one of the Lincoln Center meetings.

²With reference and allusion to *Habits of the Heart: Individualism and Commitment in American Life*, With a New Preface by Robert N. Bellah, Richard Madsen, William M. Sullivan, Ann Swindler, and Steven M. Tipton. World Paperbook, 410 pages, 2007.

³<http://www.ucop.edu/ethics-compliance-audit-services/files/stmt-stds-ethics.pdf>

⁴[https://uteach.utexas.edu/sites/default/files/files/Code of Ethics and Standard%20UPDATE.pdf](https://uteach.utexas.edu/sites/default/files/files/Code%20of%20Ethics%20and%20Standard%20UPDATE.pdf)

⁵See *Colleges That Encourage Character Development: A Resource for Parents*, edited by John Templeton Foundation, 1999. Jason Robert noted that the Aggies' Code is the same as that for cadets at West Point.

⁶UC Berkeley

<http://ethics.berkeley.edu/sites/default/files/Standards%20of%20Ethical%20Conduct.pdf>

⁷<https://uoregon.edu/about>