

Nepotism

UA-10



About This Policy

Effective Date:

12-22-2016

Last Updated:

12-22-2016

Responsible University Office:

University Compliance Office

Responsible University Administrator:

President, Indiana University University Faculty Council

Policy Contact:

Marcia Gonzales

Chief Compliance Officer

marcgonz@iu.edu

Related Information

* [Conflict of Interest Policy](#)

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* [Whistleblower Policy](#)

* [Financial Conflicts of Interest in Research](#)

* [Research Misconduct](#)

* [Purchasing Ethics](#)

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Scope

- All Indiana University employees, including faculty and academic employees; student academic appointees; and staff and temporary employees.
- Any hiring using Indiana University funds.
- Other unpaid arrangements such as internships where the appearance of nepotism is possible.

Policy Statement

Employment situations that constitute nepotism are prohibited. Nepotism is the supervision or influence over an employee by another University employee with whom they have a familial or personal relationship, as defined in this policy. Influence in the employment situation may concern issues such as hiring, promotion, supervision, evaluation, determination of salary, or working conditions.

Employees with familial or personal relationships should not be appointed or transferred to a position that creates a potential situation of nepotism, without an approved management plan to avoid instances of supervision or influence. Potential nepotism situations must be reported prior to appointment or transfer, according to the procedures below.

Situations of nepotism that arise in existing employee situations due to a change in relationship, must be reported promptly and addressed by an approved management plan.

Existing situations of nepotism must be reported and addressed unless a management plan approved by the University Compliance Office is already in place. Other management plans in existence prior to the effective date of this policy should be provided to the University Compliance Office for review.

Members of the Board of Trustees should not recommend for employment at Indiana University persons with whom they have a familial relationship.

Reason For Policy

Members of the University community must take care to ensure that personal and familial relationships between employees do not result in conflicts of interest or perceptions of bias or undue influence or negatively affect the work environment.

Procedure

Whenever a person recommending, or considering the acceptance of, an appointment to a staff, faculty, or other position has reason to believe that a familial or personal relationship as described in this policy exists or may exist in the potential employment situation, they must report the facts to the relevant academic dean (faculty) or unit director (staff) so that a determination may be made prior to the actual appointment.

When a prohibited instance of nepotism is created during the course of existing employment, the employees and/or supervisor must promptly notify the relevant dean or director. Currently existing situations of nepotism must be reported in a timely manner.

In all situations, the dean/director must inform the University Compliance Office for assistance in developing an approved nepotism management plan. The University Compliance Office will consult with the Office of the Vice President and General Counsel, as well as with the campus offices of human resources and/or academic affairs, as appropriate.

Management plans must be reviewed and signed by the involved parties, the relevant dean/director, the campus Vice Chancellor/Provost of Academic Affairs (if faculty or academic employees are involved), and the campus HR director (if staff are involved). Final copies of all approved management plans must be forwarded to the University Compliance Office which will retain copies.

The University Compliance Office, in cooperation with the relevant unit, will review all approved management plans periodically for effectiveness, but no less than every three years, or as conditions change. Any changes to approved management plans should be forwarded to the University Compliance Officer. Instances of nepotism as well as the existence of approved management plans to avoid nepotism must be reported on the University's annual conflict of interest forms, as revised in 2016.

Definitions

Nepotism: The supervision or influence over an employee by another University employee with whom they have a familial or personal relationship. Influence in the employment situation may concern issues such as hiring, promotion, supervision, evaluation, determination of salary, or working conditions.

Familial Relationship: A relationship between two individuals by blood, adoption, marriage or domestic partnership to the following degrees: parent, child, brother, sister, uncle, aunt, niece, nephew, first cousin, grandparent or grandchild, spouse, domestic partner, step-parent, step-child, step-brother, step-sister, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law or the equivalent for individuals in a domestic partnership.

Personal Relationship: A romantic/intimate relationship.

Note: The above list of relationships is not to be considered an exhaustive list; other close, personal relationships between two individuals could be considered on a case-by-case basis to be subject to this policy.

Indiana University funds: Funding from any sources including sponsored funds or donations that are held or disbursed through Indiana University accounts.

Approved Management Plan: A plan approved by University Compliance Office to mitigate effects of nepotism. Such plan must be reviewed and signed by the involved parties, the relevant dean/director, the campus Vice Chancellor/Provost of Academic Affairs (if faculty or academic employees are involved), and the campus HR director (if staff are involved). Final copies of all management plans must be forwarded to the University Compliance Office which will retain copies.

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Sanctions

Disclosure of instances of nepotism is required so that an approved management plan may be put in place. The intentional disregard of this policy by managers, supervisors, and employees will be dealt with in accordance with applicable university policies and procedures, which may include disciplinary actions up to and including termination from the university.

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Additional Contacts

Office of the Vice President and General Counsel

812-855-9739

Campus Vice Chancellors for Academic Affairs

Campus	Contact	Phone	Email
IUB	Eliza Pavalko, Vice Provost for Faculty & Academic Affairs	812-855-2809	vpfaa@indiana.edu
IUPUI	Kathy Johnson, Interim Executive Vice Chancellor, Chief Academic Officer	317-274-4500	ofaa@iupui.edu
IUE	Mary Blakefield. Interim Executive Vice Chancellor, Academic Affairs	765-973-8522	mblakefi@iue.edu

IUK	Mark Canada, Vice Chancellor for Academic Affairs	765-453-2227	marcanad@iuk.edu
IUN	Mark McPhail, Executive Vice Chancellor of Academic Affairs	219-980-6966	mlmcphai@iun.edu
IUS	Uric Dufrene, Executive Vice Chancellor for Academic Affairs	812-941-2208	tandrews@ius.edu
IUSB	Jann L. Joseph, Executive Vice Chancellor for Academic Affairs	574-520-4183	jljoseph@iusb.edu
IPFW	Carl N. Drummond, Vice Chancellor for Academic Affairs	260-481-6116	wagenfej@ipfw.edu

Campus HR Offices

Campus	Website	Phone	Email
IUB	http://hr.iu.edu/	812-855-2172	uhrs@indiana.edu
IUPUI	http://www.hra.iupui.edu/	317-274-7617	hra@iupui.edu
IUE	http://www.iue.edu/hr/index.php	765-973-8487	iuehr@iue.edu
IUK	http://iuk.edu/hr/index.php	765-455-9226	gvanalst@iuk.edu
IUN	http://www.iun.edu/hr/	219-980-6775	clobrien@iun.edu
IUS	http://www.ius.edu/hr/index.php	812-941-2356	HR@ius.edu
IUSB	https://www.iusb.edu/human-resources/	574-520-4358	japoelvo@iusb.edu

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This policy was established in 2016 to combine and revise two previous policies: [Nepotism and Academic Appointments \(ACA-41\)](#); and [Employment of Relatives, Students and Minors \(HR-02-50\)](#).