

**A-7. EMPLOYEE CODE OF CONDUCT AND ETHICS**

**[ATTACHED]**

# AUBURN UNIVERSITY CODE OF CONDUCT AND ETHICS



AUBURN  
UNIVERSITY



AUBURN UNIVERSITY  
AT MONTGOMERY



AUBURN  
Alabama Agricultural  
Experiment Station





# THE AUBURN CREED



AUBURN



I believe that this is a practical world and that I can count only on what I earn. Therefore, I believe in work, hard work.

I believe in education, which gives me the knowledge to work wisely and trains my mind and my hands to work skillfully.

I believe in honesty and truthfulness, without which I cannot win the respect and confidence of my fellow men.

I believe in a sound mind, in a sound body and a spirit that is not afraid, and in clean sports that develop these qualities.

I believe in obedience to law because it protects the rights of all.

I believe in the human touch, which cultivates sympathy with my fellow men and mutual helpfulness and brings happiness for all.

I believe in my Country, because it is a land of freedom and because it is my own home, and that I can best serve that country by "doing justly, loving mercy, and walking humbly with my God."

And because Auburn men and women believe in these things, I believe in Auburn and love it.

-George Petrie (1943)

The Auburn Creed describes the Auburn Spirit and qualities that make Auburn University unique. It is from the Auburn Creed that AU's Code of Conduct & Ethics emanates. From the Code flow University policies and procedures which direct the daily actions and behaviors expected of all Auburn Personnel.

# WHO WE ARE

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AUBURN



Auburn University (AU), Auburn University at Montgomery (AUM), the Alabama Cooperative Extension System (ACES), and the Alabama Agricultural Experiment Station (AAES) (collectively, “the University” or “Auburn”) recognize the importance of operating with the highest ethical and professional standards of conduct. Promulgated by the Auburn Board of Trustees, this Auburn University Code of Conduct and Ethics (“Code”) formalizes Auburn’s values and expectations for the faculty, staff, administrative personnel, professionals, and contractors of the University (collectively referred to as “Auburn Personnel”). The Auburn Board of Trustees is subject to the Board of Trustees Code of Ethics.

The principles of ethical behavior outlined in the Code articulate basic expectations

that guide our everyday work and interactions. The University understands these expectations require a shared commitment to ethical conduct in all University activities. Auburn Personnel are expected to demonstrate ethical, legal, and professional behavior in teaching, research, public service, and business practices.

Auburn Personnel must promote a positive and ethical work environment at Auburn. Our shared values of Integrity, Respect, and Excellence emanate from the Auburn Creed and are demonstrated each day through our actions, decisions, and behaviors. The Code provides guidance, answers, and contacts for addressing ethical concerns.



# OUR VALUES



## **INTEGRITY**

We will pursue our work with honesty, professionalism, and ethics that foster trust and accountability.

## **RESPECT**

We will honor the rights and dignity of others and work each day to create an environment where people are welcomed, valued, respected, and engaged.

## **EXCELLENCE**

We will pursue our work with distinction, diligence, and an unwavering commitment to advancing Auburn's mission.

# EMBRACING THE CODE



## OUR ROLE

AUBURN



The Code is our guide to making wise choices and doing the right thing. We encourage everyone to speak up and raise concerns to their supervisors, the Office of Audit, Compliance & Privacy, or our anonymous reporting hotline about potential violations of law or policy. Importantly, we do not tolerate retaliation against those who do speak up.

Everyone must do their part to maintain a culture of compliance and ethics. All Auburn Personnel are expected to adhere to the ethical standards expressed in the Code. We must conduct ourselves in a

responsible manner consistent with the Code and University policies to meet our regulatory and compliance obligations. We must do what is right, individually and collectively.

The University's rules concerning employee conduct and job performance are simple, common-sense guidelines applicable to all Auburn Personnel. University policies and procedures must be consistent with the Code. All Auburn Personnel shall be held to the same standards of conduct.

# INTEGRITY

**We Exhibit Ethical and Honest Behavior:** The University relies upon all Auburn Personnel to conduct themselves ethically, honestly, and with integrity in all dealings. Such conduct requires applying the principles of fairness, good faith, and respect in our decisions and actions. We each take responsibility for our actions and perform our delegated responsibilities using sound judgment. We carry out our duties in compliance with the Code.

**We Comply with Applicable Laws, Regulations, and University Policies:** We are aware of applicable laws, regulations, and policies. We acknowledge the importance of these rules and follow them in both their letter and spirit. We understand that University policies exist to facilitate awareness and compliance with laws and regulations and set the minimum standard for our expectations.

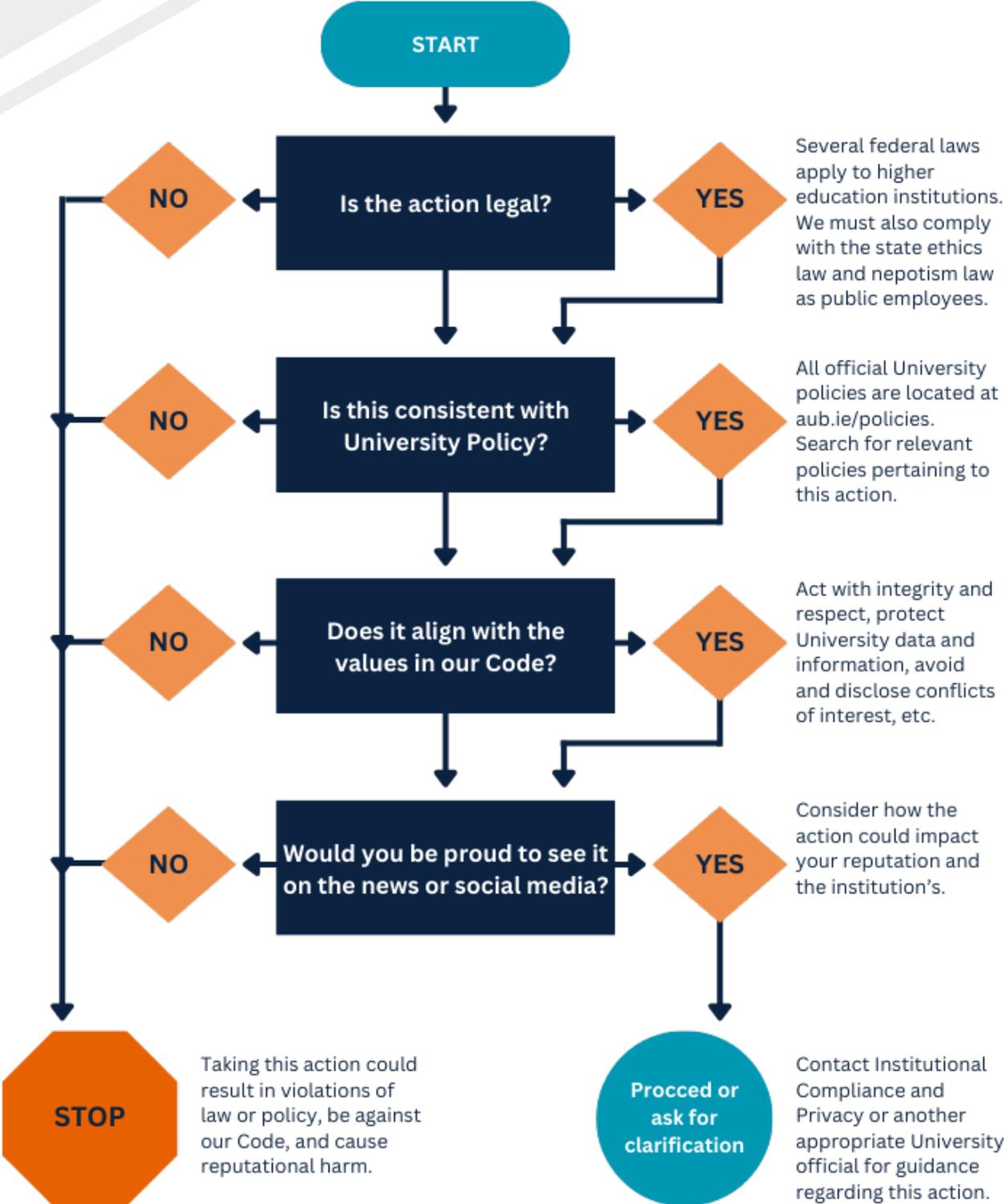
**We Act with Integrity:** Auburn Personnel are expected to display the highest standards of honesty and integrity in teaching, research, scholarship, outreach, service, and business. We are responsible stewards of University property and resources and do not engage in fraudulent activities involving plagiarism, misrepresentation, deception, or falsification of information, records, or data in our work. We speak candidly and truthfully and do not produce or perpetuate false information. It is our responsibility to all people that research be conducted in strict conformity with Auburn University standards, methodologies, and governmental and private research sponsor requirements.

**We Preserve Data Security, Privacy & Confidentiality:** Auburn Personnel often have access to, receive, or generate various types of confidential information. Laws, agreements with third parties, and University policies and guidelines govern the collection, storage, transmission, and destruction of confidential information. Individuals with access to confidential information have an obligation to protect and secure this data from unauthorized access and use. Additionally, we adhere to privacy best practices and record retention requirements.

**We Avoid, Report, and Manage Conflicts of Interest:** Auburn Personnel must carefully navigate situations that involve a potential conflict of interest or commitment with the University. Individuals are expected to faithfully carry out their professional duties in furtherance of the University's mission and to avoid conflicts between their personal interests and official responsibilities. We expect all Auburn Personnel to comply with University and other guidelines for reporting and reviewing actual and potential conflicts of interest and conflicts of commitment. When real or perceived conflicts arise, they must be recognized, disclosed, and eliminated or appropriately managed.

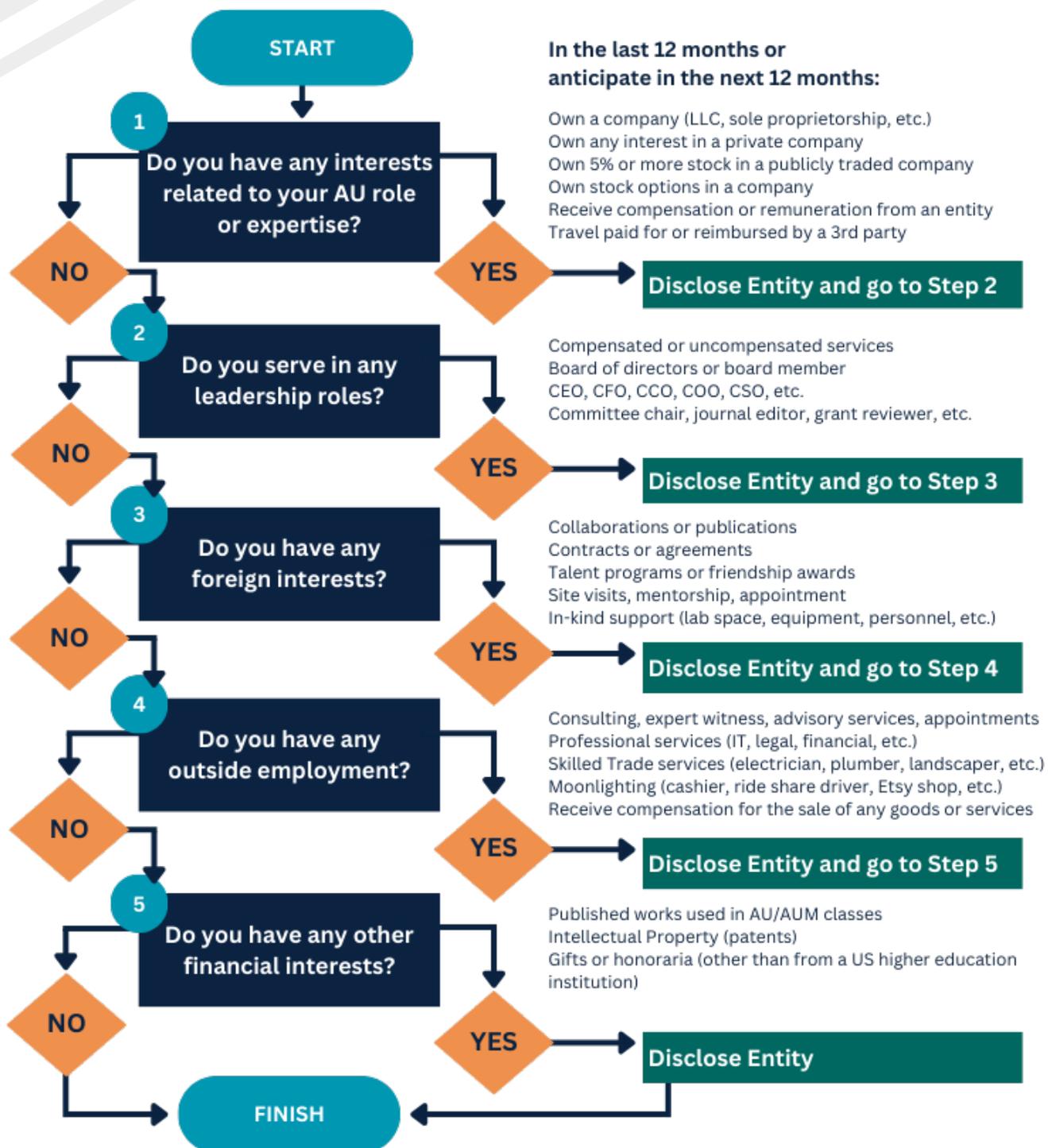
# ETHICAL DECISION-MAKING

Consider using the following guide to help you decide if a particular action is appropriate.



# CONFLICT OF INTEREST/ CONFLICT OF COMMITMENT

Consider your interests, activities or relationships with any entity external to the University (AU, AUM, ACES, AAES) to identify a conflict.



# RESPECT

**We Respect the Rights and Dignity of Others:** We are committed to providing an environment in which every member of the Auburn community feels welcomed, valued, respected, and engaged. Our institution prohibits harassment, threats, violence, and discrimination. We prohibit retaliation against personnel who file complaints in good faith regarding discrimination or misconduct. Simply, we treat others how we would want to be treated.

**We are committed to Equal Opportunities for All:** We understand and value the importance of a welcoming community and providing equal opportunities for all. The University environment fosters rigorous, constructive, truth-seeking discussions about questions of consequence. In that regard, Auburn Personnel are expected to treat one another with the kind of courtesy and respect that allows Auburn community members to learn from one another, despite differences in viewpoint or background.



# EXCELLENCE

**We Represent the Auburn Brand:** We recognize the strong value of the Auburn brand and strive to maintain an excellent reputation in the state, region, and country. To continue to attract high-caliber students, employees, and partners, we exhibit professional communications and protect our marks.

**We Report Concerns and Cooperate to Resolve Issues:** We support a “speak-up” culture. Auburn Personnel employees should report suspected policy violations and other concerns at the earliest possible opportunity to their supervisor, the Office of Audit, Compliance & Privacy, or the Office of the General Counsel. Auburn Personnel are protected from retaliatory actions should they report in good faith. Auburn employees and students wishing to remain anonymous may report their concerns via the anonymous Ethics Line reporting system available online at [aub.ie/ReportIt](http://aub.ie/ReportIt). We encourage all members of the Auburn community to report suspected incidents of misconduct, fraud, abuse, hazing, violations of law or other wrongdoing through Ethics Line, or online or in-person using the tools available through Student Affairs or through the Office of Audit, Compliance & Privacy. Each member of the University is expected to cooperate fully and honestly with any investigation undertaken to reach a fair and complete resolution. If you encounter an active emergency or someone’s health, safety, or property is currently in danger, you should immediately call 911 or make a report in person at the nearest police precinct.

**We Take Responsibility for Our Actions:** We understand that each of us must perform our duties effectively for the success of the University. Each person has an important role to play to ensure we fulfill our mission. We take responsibility for our actions and know that our daily decisions, actions, and behaviors are a reflection of the University. We hold ourselves and each other to consistent expectations of exceptional performance and conduct that advances the University’s mission while fostering a culture of collegiality, curiosity, and growth.

# LIVING THE CODE



AUBURN

DAILY DEDICATION



The Code, together with the Auburn Creed, serves as a foundational policy from which all other University policies emanate. The Code is a resource synergizing the University's policies and procedures so that they are accessible and easy to understand.

The ethical standards set forth in the Code complement current and future University policies, which guide our daily activities to prevent legal and regulatory violations.

The Code should be utilized to promote and reinforce the University's culture of compliance and ethics, foster loyalty and retention, and build stronger relationships with students, collaborators, and business partners.

If you have questions or concerns about the Code, or about possible illegal or unethical behavior, or noncompliance with University policy, you should speak with your supervisor, another University leader, the Office of Audit, Compliance & Privacy, or utilize the confidential reporting hotline, Ethics Line at [aub.ie/ReportIt](http://aub.ie/ReportIt) (or other appropriate offices). Together, we make Auburn University a place where everyone is respected, takes responsibility for their actions, and trusts one another to do the right thing.

