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# A Message From the President

Georgia Tech is committed to upholding the highest standards of ethics and integrity. As we develop leaders and improve the human condition, our values define how we make decisions. We aim to conduct ourselves with integrity, accountability, and excellence in teaching, research, interpersonal activities, and committees, and as stewards of all resources entrusted to our care.

Our commitment to ethics in the Institute's strategic plan will define our conduct as a top-ranked public institution and a leading research university engaged in championing innovation.

Our ethical and values-based conduct is mandatory, not optional. Students, parents, taxpayers, sponsors, alumni, donors, and friends generously give resources and responsibility for their stewardship to Georgia Tech with the expectation of advancing our mission. We are responsible for earning and keeping their trust, upholding their confidence, and respecting their generosity to the highest degree.

Our commitment to ethics is set forth in this Code of Ethics. This Code serves as a compass, giving us direction to make ethical decisions.

If there is any conduct in our community that does not align with or promote our commitment, each of us is responsible for protecting and furthering our ethical and value-based culture by speaking up. This is a community that encourages its members to speak up for what is right, that honors those who do so, and defends them from retaliation. By holding one another accountable, we all make the right decision, every day. Together, we can create a place that champions innovation and each other.

Thank you for your commitment to Georgia Tech and for making ethical and values-based choices every day.

All the best,



**ÁNGEL CABRERA**President



### **WE ACT**

# Ethically

Our ethics are embedded in everything we do at Georgia Tech — we act ethically. Our values define who we are and who we aspire to be as a community. They help us make decisions. Those decisions drive our actions. The Georgia Tech Code of Ethics (the "Code") is a guide to how to use our values to make everyday decisions.

Because our Code is a guide and is not meant to address every situation that may arise, many of the topics in this Code are also covered in USG and Institute policies and procedures. The Code is intended to be applied together with these documents as well as applicable laws, rules, and regulations. We are all responsible for being familiar with and complying with the policies, procedures, laws, rules, and regulations that apply to us in our individual roles, including where they may be more restrictive than what is in this Code.

The Code of Ethics serves as our compass. Not only does it help us meet our compliance requirements, but it gives us a sense of direction. It guides us toward making good decisions.



Georgia Tech has a mission and nine strategic values that belong to all of us. Our values establish how we accomplish our mission. This Code provides direction, like a compass, for applying our values.

At Georgia Tech, our mission is to develop leaders who advance technology and improve the human condition. We accomplish our mission by putting Ethics First. "We act ethically" is one of our strategic values.

### All nine are below, in no particular order:

- We act ethically.
- · Students are our top priority.
- · We strive for excellence.
- · We thrive on diversity.
- · We celebrate collaboration.
- · We champion innovation.
- We safeguard freedom of inquiry and expression.
- We nurture the well-being of our community.
- · We are responsible stewards.

At Georgia Tech, we hold one another to the highest standards of professional and ethical conduct. We are transparent, honest, and accountable, and strive to earn and maintain the public trust.

### The Code Applies to Us

By working for Georgia Tech or its affiliates, as faculty, staff, contractors, or agents, we are all expected to understand and follow the Code of Ethics. Read the Code carefully and make sure you understand the guidelines it sets forth. Every year, we will read the Code and renew our pledge to show understanding and to affirm that we agree to abide by the letter and spirit of the Code.

### How does the USG Ethics Policy relate to this Code of Ethics?

The University System of Georgia (USG) is the governing body that oversees all 26 public institutions of higher education in Georgia. The USG creates policies that all institutions, including Georgia Tech, must follow and implement within their campuses. One of these is the USG Ethics Policy.¹ It provides a baseline of ethical standards that we all must meet.

If you have any questions or are unclear about what to do or how to make a decision, ask!

### **Georgia Tech Compliance Requirements**

Georgia Tech has many compliance requirements that we must abide by, and they come from many different sources and areas:





# Using Good Judgment

Our Code directs us along the right path in making ethical decisions. In addition, we should rely on our personal, sound judgment to uphold a high standard of integrity. If you aren't sure of the right thing, talk to your manager, the Office of Ethics and Compliance,<sup>2</sup> or refer to the resources in this Code. When in doubt, it is important to ask!

### MANAGERS PLAY A CRITICAL ROLE

You are responsible for promoting ethical conduct. Data shows that employees whose managers frequently discuss ethics and compliance with them are two times more likely to be comfortable approaching them with concerns or questions. On the other hand, employees whose managers never discuss ethics and compliance with them are two times less likely to believe senior leadership acts ethically at all times.

Managers make an impact by encouraging others to ask "Is it right?" before "Is it legal?" and by talking openly, directly, and regularly about the importance of integrity in all of our decisions.

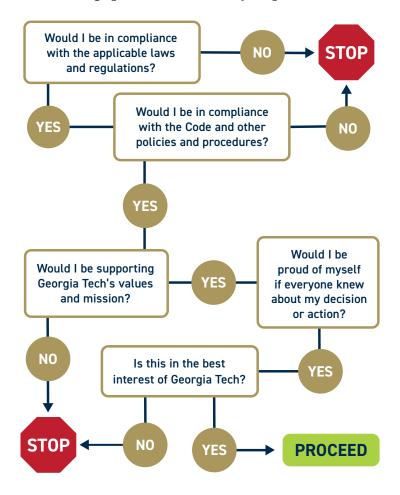


### **ETHICS FIRST**

Ethics First is the tagline that the Office of Ethics and Compliance uses to remind all of us to do the right thing by putting Ethics First. It also serves as a reminder that the Office of Ethics and Compliance at Georgia Tech is a resource for everyone. Where you see the Ethics First logo, Georgia Tech is promoting ethical thinking and decision making.



### If you aren't sure about what to do, ask yourself the following questions before you proceed:



### What does it mean for our students to be our top priority and to put Ethics First?

It means that our actions and our decisions must be what is best for the students we serve and educate. We determine "best" by putting Ethics First. When we do what is right, we are putting our students first.





### GEORGIA TECH ATHLETICS

Georgia Tech Athletics employees have additional NCAA, ACC, and GTAA rules to follow. For more information, please contact the GT Athletics Compliance Office.<sup>3</sup>



### GEORGIA TECH RESEARCH INSTITUTE (GTRI)

GTRI employees have additional policies,<sup>4</sup> procedures, laws, and regulations to follow that are specific to their research. If GTRI employees are unsure about whether or how a policy or regulation applies, they should ask their managers or contact the GTRI Office of Ethics and Compliance.<sup>5</sup>

<sup>2</sup> ethicsfirst.gatech.edu/about

<sup>3</sup> ramblinwreck.com/compliance

 $<sup>{\</sup>it 4\ webwise.gtri.gatech.edu/inside-gtri/policies/gtri-policies}$ 

<sup>5</sup> gtri.gatech.edu/about/ethics-compliance

# Listen Up, Speak Up, Follow Up

Our Code directs us along the right path in making ethical decisions. In addition, we should rely on our personal, sound judgment to uphold a high standard of integrity. If you aren't sure of the right thing, talk to your manager, the Office of Ethics and Compliance, or refer to the resources in this Code. When in doubt, it is important to ask!

"We safeguard freedom of inquiry and expression" is one of our strategic values. Safeguarding freedom of inquiry and expression means working to create a space where other people can speak up about ideas and concerns without fear of embarrassment, punishment, or retaliation. Students and peers should be encouraged to think critically, challenge assumptions, and debate constructively.

Each of us has a duty to listen actively, speak up, and be responsive when others speak up. We live our values when

we promptly report concerns, provide feedback, admit mistakes, and ask questions. When we, as individuals, deprive the group of our input, we are underperforming and potentially putting Georgia Tech at risk.

You can also visit the USG Ethics and Compliance Hotline<sup>6</sup> to report concerns. The USG hotline is available 24 hours a day, seven days a week.

For more information about reporting wrongdoing to the USG, see the USG Reporting Wrongdoing Policy.<sup>7</sup>

### If you see something that does not look or feel right, immediately report the concern to one of the following:

Direct Supervisor	Upper Level Management Within Unit	GTHR Employee Relations	Office of the Provost (Faculty Affairs)	Dean of Students/ Office of Student Integrity	Ethicspoint Helpline ("the Helpline")
Concerns about general work assignment issues.	Items that remain unresolved after speaking with your direct supervisor.	Concerns about performance standards.	Student and faculty academic conflicts or issues.	Student code of conduct violations.	Fraud, waste, or abuse allegations.
Communication issues.			Research and scholarly misconduct allegations.		Policy violations including retaliation, discrimination, and hostile work environment.
General conflicts between employees.	Items that you feel uncomfortable speaking with your supervisor about or might involve your supervisor.	Management of employees.	Other conflict		Conflicts of interest.
			and faculty.		Other ethics concerns.



### THE INFLUENCE OF MANAGERS

It is your responsibility as a manager to set the tone and to define the culture for your team. That culture must be consistent with the values and ethics of Georgia Tech. Your team takes your cue about whether it is safe to speak up about a concern, mistake, or new idea.

### Managers should seek to:

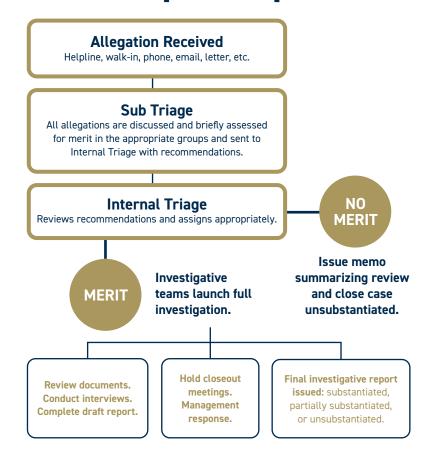
- Create a space of psychological safety for your team to speak up without fear of punishment or embarrassment.
- Listen to what your employees are saying.
- Thank them for raising concerns.
- · Follow up to resolution.

Data shows that employees report ethical concerns to managers far more frequently than any other reporting channel. As a manager, part of being useful and honest is being responsive and following up to make sure there is resolution.

### Who investigates my concern?

All concerns reported to Georgia Tech are assessed by Georgia Tech's triage team, which is led by the Office of Ethics and Compliance, and consists of members from Georgia Tech Human Resources, the Office of the General Counsel, Internal Auditing, and the Office of the Provost. Once assessed, an investigator will be assigned, if appropriate. The investigator is required to follow up directly with the triage team. All investigations are handled in accordance with the oversight of the triage team and the University System of Georgia. All concerns reported via the Ethicspoint Helpline are also viewable by the University System of Georgia.

### **Ethics and Compliance Complaint Process**



**SPEAK UP!** If you want to know about a policy or legal requirement.

**SPEAK UP!** If you see inappropriate behavior, a policy violation, or illegal activity.

SPEAK UP!

If you have a question or idea.

<sup>6</sup> usg.edu/organizational\_effectiveness/ethics\_compliance/reporting\_contacts

 $<sup>7\</sup> usg. edu/business\_procedures\_manual/section 16/C2909/\#p16\_6\_3\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_aga$ 



# We Thrive on Diversity

"We see diversity of backgrounds and perspectives as essential to learning, discovery, and creation. We strive to remove barriers to access and success, and to build an inclusive community where people of all backgrounds have the opportunity to learn and contribute to our mission." —Georgia Tech Strategic Plan

Valuing diversity at Georgia Tech means we work to remove barriers to access and success and build an inclusive community. We uphold this value by admitting, including, hiring, promoting, and compensating people based on their qualifications and ability to perform the job without regard to race, ethnicity, ancestry, color, religion, sex (including pregnancy), sexual orientation, gender identity, gender expression, national

origin, age, disability, genetics, or veteran status, or any other characteristic protected by law.

For more information, see our Equal Opportunity, Nondiscrimination, and Anti-Harassment Policy.<sup>8</sup> When we follow laws and our policies that protect freedom of expression and promote diversity, we nurture one another and build a stronger Georgia Tech community. We are greater together.

### THE BENEFITS OF DIVERSITY

Research shows that promoting diversity in the workplace and in higher education has a number of overall benefits:

- Increased productivity and innovation.
- Increased employee and student attraction and retention.
- Improved brand and reputation.
- A positive and healthy work and learning environment.
- Opportunities for growth and development for students and employees, both within and beyond the institution.





My team member often makes inappropriate comments about another coworker's gender. Then, they cover it up by saying, "I'm only kidding." Is that OK?

No. Just because someone is joking, or doesn't mean harm, it doesn't mean the comments are not discriminatory or harmful. Comments are not judged by the intent of the speaker. Rather, we look at all of the circumstances and judge whether they would create a hostile environment for a reasonably objective person. Even if the comments do not reach the legal standard for harassment, they may violate standards of professionalism and collegiality. If you are comfortable, say something directly to your team member. But whether you speak with your team member or not, you should still report the situation to your manager, Human Resources, or any of the other resources listed in this Code. Certain roles have mandatory reporting requirements under Title IX.

## Our Non-Retaliation Policy

Speaking up and reporting concerns takes courage. We are all responsible for making sure that when someone speaks up with a concern or question, they feel safe and heard. Retaliation happens when a person receives less favorable treatment for making a report in good faith about a violation of a law, rule, or policy, or for participating in an investigation.

Making a report in good faith does not necessarily mean that you have to be right. It means that you believe you are providing truthful information about the concern you are raising.

Acts of retaliation are a violation of policy and the spirit of this Code. We do not tolerate any kind of retaliation. If you experience or witness an act of retaliation, speak up!

For more information about retaliation, see the USG Whistleblower Protection Policy<sup>9</sup> and the Georgia Tech Non-Retaliation Policy.<sup>10</sup>

### Recognize These Potential Examples of Retaliation:

- Excluding someone from a meeting or work activity.
- Giving the "cold shoulder."
- · Assigning unfavorable tasks.
- Skipping over someone for a promotion.
- Trying to figure out "who told."
- · Spreading rumors.
- Moving someone's workspace to a less favorable location.

<sup>8</sup> policylibrary.gatech.edu/equal-opportunity-nondiscrimination-and-anti-harassment-policy

 $<sup>9 \</sup>quad usg. edu/business\_procedures\_manual/section 16/C2909/\#p16\_6\_3\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_whistleblower\_protection\_against\_retaliation\_ag$ 

<sup>10</sup> policylibrary.gatech.edu/employment/non-retaliation-policy



# We Nurture the Well-Being of Our Community

Treat others with respect and dignity. We strive to be among the best at what we do and to set high expectations for each of us individually and for our community as a whole. The expectation of excellence, which is so important and helpful to our ability to have a meaningful impact in the world, extends to how we treat each other. We hold one another to the highest standards of professionalism. We work to create an environment that attracts, retains, and develops the most talented individuals. Behavior that constitutes bullying, harassment, abuse, or discrimination undermines our pursuit of excellence.

For more information about reporting options and resources, see the Equal Opportunity, Nondiscrimination, and Anti-Harassment Policy;<sup>11</sup> the Workplace Violence Policy;<sup>12</sup> and the Sexual Misconduct Policy.<sup>13</sup>

- 11 policylibrary.gatech.edu/equalopportunity-nondiscriminationand-anti-harassment-policy
- 12 policylibrary.gatech.edu/employment/ workplace-violence
- 13 policylibrary.gatech.edu/student-life/ sexual-misconduct
- 14 policylibrary.gatech.edu/ information-technology
- 15 policylibrary.gatech.edu/legal/ intellectual-property-and-copyright
- 16 policylibrary.gatech.edu/business-finance/ equipment-management
- 17 policylibrary.gatech.edu/legal/ intellectual-property-and-copyright
- 18 generalcounsel.gatech.edu/sites/default/ files/documents/political\_activity\_ in\_the\_workplace\_final.pdf
- 19 usg.edu/policymanual/section8/ C224/#p8.2.18\_personnel\_conduct
- 20 usg.edu/policymanual/section8/C224



# We Are Responsible Stewards

We are careful stewards of the resources we are entrusted with and strive to be an example of sustainability, efficiency, respect, and responsibility.

We all have access to Georgia Tech systems, facilities, and other resources to accomplish our mission. We protect property and information from Georgia Tech and its sponsors by only using these things for Georgia Tech business. We should never use Georgia Tech resources for outside business activities or personal matters that would generate cost, cause damage to Georgia Tech, or otherwise violate relevant laws or policies.

Being a responsible steward also means respecting other people and their property, both physical and intellectual.

For more information, see our Information Technology,<sup>14</sup> Intellectual Property,<sup>15</sup> and Equipment Management<sup>16</sup> policies.

### GEORGIA TECH PROPERTY: THE TANGIBLE AND THE INTANGIBLE

Georgia Tech property includes money and physical property, such as laptops, desks, and other tangible items, as well as intellectual property.

Georgia Tech's intellectual property includes our trademarks, logos, copyrights, trade secrets, and patents. When we invest in innovation, our developments can become valuable intellectual property. We are responsible for being aware of, fiercely protecting, and appropriately using Georgia Tech's and Georgia Tech's business partners' intellectual property. Consult Georgia Tech's Intellectual Property Policy 17 for more information.

# Political Activity

Part of upholding and celebrating freedom of inquiry and expression is participating freely and actively in the political process. We do, however, have to keep our political activities from interfering with, or being associated with, our employment, including the use of state resources.

For more information, see the infographic on the Do's and Don'ts in the Workplace<sup>18</sup> and the USG Ethics Policy<sup>19</sup> and Political Activity Policy 8.2.18.3.<sup>20</sup>





## We Protect Data

Our community trusts us to be good stewards of large amounts of data. Protecting that data is crucial for both ethical and legal reasons. At Georgia Tech, data is categorized into two categories: public, which is intended for public use; and protected, which is not intended for public use. At all times, we are responsible for safeguarding protected information.

Changing technology requires us to stay alert to new threats and up to date with new policies. We take extreme care to protect the information on our devices and to avoid sharing any information that is not needed for the job at hand. Use Georgia Tech approved services, including email, Dropbox, and SharePoint, when storing and sharing protected data. When sharing the data, ensure that the person receiving it is the correct person and they have a legitimate reason to see the data that is being shared.

For more information, see our pages on Data Categorization<sup>21</sup> and Information Security Procedures, Standards, and Forms.<sup>22</sup>

If you know of an incident (for example, you lose your laptop or smartphone, think that your password may have been compromised, or if you sent or received data improperly):

- Notify the cyber security team immediately with details of what happened by emailing soc@gatech.edu or calling 404.385.2927.
- Wait for further instructions from the cyber security team before you do anything with the data.
   DO NOT transmit, share, or copy the data.

### MINIMUM NECESSARY RULE

If a task requires personal information about students, employees, or other individuals, make sure only to use and share the minimum amount of information that is required to complete that specific task.

For example, if the task requires only the names and email addresses of individuals at Georgia Tech, do not also provide or share mailing addresses, dates of birth, gender, GTID, race/ethnicity, major of study, or any other personal information.

<sup>21</sup> policylibrary.gatech.edu/data-governance-and-management-policy

<sup>22</sup> security.gatech.edu/information-security-procedures-standards-and-forms

<sup>23</sup> policylibrary.gatech.edu/employment/conflict-interest

<sup>24</sup> usg.edu/policymanual/section8/C224

 $<sup>25\</sup> policy library. gatech. edu/faculty-handbook/5.6-conflict-interest-and-outside-professional-activity-policy$ 

<sup>26</sup> policylibrary.gatech.edu/faculty-handbook/5.6.4-disclosure-real-or-potential-conflict-interest

 $<sup>27\</sup> policy library. gatech. edu/faculty-handbook/5.6-conflict-interest-and-outside-professional-activity-policy$ 

<sup>28</sup> researchintegrity.gatech.edu/coi-faq



# Understand Conflicts of Interest

We celebrate collaboration across perspectives, among units and departments, with other organizations at home and around the world, and with members of the public. Collaborating, including researching, with integrity means fully and transparently disclosing all activities and information to Georgia Tech, our sponsors, and regulators about our collaborations. Annually, we conduct a campaign to remind you to disclose all of your outside activities in the Georgia Tech Conflict of Interest and External Activities Reporting Portal.23

Each of us has a responsibility to further Georgia Tech's mission and top priority, which is to serve students. We all have a duty to avoid conflicts between our own personal interests and our official responsibilities as employees. We cannot use our own positions at Georgia Tech for our personal benefit, and we must follow the policy and guidelines for reporting and reviewing conflicts of interest. This includes even the appearance of a conflict of interest.

If you are in a situation in which competing loyalties could cause you to pursue a personal benefit for you, your friends, or your family at the expense of Georgia Tech, its students, or our community, you may be faced with a conflict of interest.

A conflict of interest can arise when our judgment may be, or may appear to be, influenced because our personal or outside interests conflict with Georgia Tech's interests.

Each of us is accountable for:

- Looking out for and avoiding situations that may create a conflict of interest.
- Disclosing any situation or outside activity that creates, or could appear to create, a conflict of interest. Acting with integrity and living out Georgia Tech's values means putting the Institute's interests before our own personal agenda.

For more information, see: USG Policy 8.2.18.2 Conflicts of Interest and Conflicts of Commitment, 24 Employee Policy 5.6 Conflict of Interest, 25 Disclosure of Real or Potential Conflict of Interest, 26 Faculty Handbook: Conflict of Interest and Outside Professional Activity Policy, 27 and Conflict of Interest FAQs. 28

When in doubt — ask coi@gatech.edu.



### Could this be a conflict of interest?

Ask yourself:

- Will the action I'm considering create a new incentive or motivation for me? Does it appear to others to create an incentive or motive for me?
- Am I using Georgia Tech's resources to benefit me, my friends or family, or another business?
- Will I feel obligated to someone else?
- Is this decision inconsistent with Georgia Tech's values?
- Is there a chance someone could think that my independent judgment was compromised by the decision?
- Is there a chance however small — I could appear biased or as having divided loyalty?

If you answered "yes" to any of these questions, there is a high probability that your decision will result in a real or perceived conflict of interest.

## **Outside Activities**

Georgia Tech succeeds when we participate in the greater global community by sharing our time and expertise. This is why we celebrate collaboration!

We each give our best effort every day at Georgia Tech, not allowing outside jobs, other activities, or foreign influence to hinder our contributions to Georgia Tech and our service to students.

To uphold our commitment to Georgia Tech, always avoid activities and outside business relationships that might influence, or appear to influence, the decisions you make on Georgia Tech's behalf or with Georgia Tech resources. These activities can create a conflict of commitment if they become a second job that competes with the Institute or interferes with your work at Georgia Tech.

If your outside activity involves a foreign entity, individual, or institution, there could be additional restrictions associated with that country, so be sure to disclose your activity for foreign influence review.

### GEORGIA TECH ATHLETICS

Georgia Tech Athletics employees must follow the disclosure requirement under NCAA Bylaw, 11.3.2.1.1, Noninstitutional Income and Benefits Disclosure. For more information, please contact the Georgia Tech Athletics Compliance Office.<sup>29</sup>

### How much outside work is too much?

USG mandates that an employee with a work commitment that exceeds 30 hours per week or a faculty member with a contract of at least nine months must receive written approval prior to engaging in the compensated activity, if the activity relates to the employee's expertise or responsibilities as a USG employee. Georgia Tech has a series of policies<sup>27</sup> that govern whether the outside activity might be a conflict of interest and how to go about disclosing any potential outside activities. Additionally, employees are generally prohibited from consulting with or receiving any compensation from a vendor that does business with the Institute, but there are a few exceptions that may be granted by the president.

For nine-month faculty, Georgia Tech has also outlined specific requirements and definitions for those activities that go beyond primary and secondary responsibilities that might be considered to be "consulting." Those activities are outlined in the Consulting Policy<sup>28</sup> and describe when prior approval might be required.

## I have been invited to guest lecture at a foreign institution this summer. May I accept?

Possibly. Guest lecturing is usually a permitted outside activity. However, it could be a conflict if the lecture is in a foreign nation that has specific sanctions and regulations around it or if the activity negatively affects your job performance at Georgia Tech. You should disclose the activity as a potential conflict of interest so that it can be properly reviewed.

### I am an administrator, but I sell consumer products on the side to earn some extra income. Do I need to disclose that?

You should disclose your moonlighting activity to your manager to be sure you are both comfortable with the activity, ensure there are no actual or perceived conflicts of interest, and confirm that it will not interfere with your Georgia Tech job responsibilities. However, you do not need to formally report the activity if it is not directly related to your role at Georgia Tech.







# Conduct Research Responsibly

As a leading research institute, it is important that ethics guides our conduct in research as well. Georgia Tech is committed to promoting scientific inquiry and fostering an ethical research environment that allows researchers to work together toward common goals and promote public confidence in our scientific knowledge and progress for the public good.

Because Georgia Tech champions innovation and strives for excellence, there is a specific research committee through the Office of Research Integrity Assurance that is dedicated to ensuring research is conducted ethically, legally, and safely.

For general guidance on responsible conduct in research as well as links to specific policies and trainings, please see the Responsible Conduct in Research website.<sup>30</sup>

## Retain Accurate Records

It's important that we keep accurate records and for an appropriate length of time. We should never falsify, forge, backdate, or improperly alter Georgia Tech records, including hours worked, transactions associated with compensation, or information related to the reimbursement of expenses. The USG Records Retention Schedules<sup>31</sup> require minimum record retention periods for certain types of records. If asked by the

Office of the General Counsel to retain records relevant to a litigation, audit, or investigation, do so until the Office of the General Counsel tells you retention is no longer necessary. If you have any questions regarding the correct length of time to retain a record, first contact your supervisor.

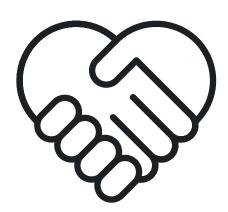
For more information, visit the Library Records Management website.<sup>32</sup>

<sup>29</sup> ramblinwreck.com/compliance

<sup>30</sup> rcr.gatech.edu

<sup>31</sup> usg.edu/records\_management/schedules

<sup>32</sup> library.gatech.edu/records-management



### Personal Relationships at Work

Some kinds of relationships may compromise or appear to compromise your ability to perform your job responsibilities, may create uncomfortable work environments, or may raise issues of fairness or favoritism. The USG Ethics Policy<sup>33</sup> and the USG HRAP Policy on Amorous Relationships<sup>34</sup> prohibit romantic or sexual relationships with someone you supervise, teach, or evaluate or whose education or employment status you could directly affect. When in doubt — ask your immediate supervisor. If you do not feel comfortable speaking with your supervisor, then contact Georgia Tech Human Resources-Employee Relations.

Georgia Tech's Nepotism (Employment of Relatives) Policy<sup>35</sup> and BOR Policy 8.2.3 Employment of Relatives<sup>36</sup> prohibit family members from working in a supervisor/subordinate relationship in the same reporting line.

### **GTRI SELF-DISCLOSURE SYSTEM**

For GTRI employees only, there is a system set up for you to self-disclose any personal relationships at work. Reach out to your supervisor for more information.

# Gifts and Other Items of Value

Accepting and giving gifts and entertainment can create the appearance of a conflict of interest, particularly if the value is great. Even the appearance that our judgment has been clouded can hurt our reputation and damage our relationships.

The USG Policy on Gratuities<sup>37</sup> and Georgia law (O.C.G.A §16-10-2<sup>38</sup>) provide

#### **GTRI GIFTS POLICY**

If you are an employee of GTRI, you might be expected to follow more stringent requirements if you are working with members of the federal government. For more information, GTRI employees should consult GTRI Policy 4020-Offering and Accepting Gifts.

specific guidance on what a gift is. We should never solicit or accept money or anything of value (e.g. discounts or services) that is intended to influence a decision, as a reward for a decision we made, or in exchange for confidential information. These may be considered bribes or kickbacks, which are illegal.

For the same reason and with limited exceptions, we cannot accept anything of value from a Georgia Tech vendor, lobbyist, or student.

If Georgia Tech would like to give resources to other people or companies (including nonprofits), there must be a benefit to Georgia Tech. For example, if Georgia Tech would like to let an outside group use a space or facility on campus, there must be some benefit to Georgia Tech in order to lend that space.

Some gifts between Georgia Tech employees may be appropriate. For examples, see the policy on Purchasing Gifts for Employees/Students.<sup>39</sup> When in doubt — ask.

### **DE MINIMIS GIFTS**

Gifts with little or modest value, such as door prizes or swag from attending a Georgia Tech event, are called "de minimis gifts." They don't happen very often or regularly, so trying to keep track of them would be too difficult and just not practical. These kinds of gifts are OK to accept.









# Building a Supportive Community

At Georgia Tech, we must nurture the well-being of our community. We must take care of one another and build each other up as we strive for excellence. For our students, we need to ensure that they have the opportunity to be happy, healthy, and successful. The Center for Assessment, Referral, and Education (CARE) is committed to the health and well-being of Georgia Tech students and has many resources for faculty and staff to help a student of concern who might need care or guidance. Visit the CARE website<sup>40</sup> for tips on what to look for and how to seek help for others. For our employees, the Employee Assistance Program<sup>41</sup> can be a resource to provide support and relief.

Together, we are a community. When we work together and take care of one another, that is when we champion innovation and achieve greatness. Let us use the Code of Ethics as our compass to making ethical decisions and living our values every day.

- 33 usg.edu/policymanual/section8/ C224/#p8.2.18\_personnel\_conduct
- 34 usg.edu/hr/assets/hr/hrap\_manual/ HRAP\_Amorous\_Relationships\_ Employee\_Relations.pdf
- 35 policylibrary.gatech.edu/ nepotism-employment-relatives
- 36 usg.edu/policymanual/section8/C224
- 37 usg.edu/policymanual/section8/C224/ #p8.2.18 personnel conduct
- 38 law.justia.com/codes/georgia/2010/ title-16/chapter-10/article-1/16-10-2
- 39 policylibrary.gatech.edu/employment/ purchase-gifts-employeesstudents
- 40 care.gatech.edu/content/ seeking-help-others
- 41 hwb.gatech.edu/eap

# Violations of the Code

Any action that goes against the nature or spirit of this Code, including failure to report, is likely a violation of another Georgia Tech or USG policy and therefore may result in disciplinary action, including termination of employment and possible legal liability, as outlined in the applicable policy. Georgia Tech reports to the appropriate law enforcement authorities any suspected violations of criminal laws.



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