

CODE OF ETHICAL AND PROFESSIONAL CONDUCT

Revised March 2021

Revision Approved by the Provost and Vice President for Academic Affairs: April 2021

Revision Approved by Faculty and the Dean: April 2021

Revision Approved by Student Pharmacists: April 2021

1.00 PREAMBLE

1.01 A student pharmacist holds the health and safety of patients to be of primary importance. The student renders to each patient the full measure of his/her ability as an essential health care practitioner.

1.02 A student pharmacist strives to gain professional knowledge and to render the best professional judgment.

1.03 A student pharmacist is required to obey the law, to uphold the dignity and honor of the profession, and to accept its ethical principles. The student shall not engage in any activity that will discredit the profession. The student shall expose, without fear or favor, illegal and unethical conduct in the profession.

1.04 The principles of professional conduct for students of the Harrison School of Pharmacy (HSOP hereafter) have been established to guide the student in his/her relationship with fellow students, faculty, staff, health care professionals and the public. Toward this end, the students and faculty of HSOP have adopted this *Code of Ethical and Professional Conduct*, hereafter referred to as the "Code".

2.00 PLEDGE

2.01 As a condition of acceptance to HSOP, the applicant shall be required to sign and send to HSOP a pledge that shall read as follows:

"I ACCEPT the position reserved for me in the Pharm.D. class entering in (insert year) on the (Auburn or Mobile) Campus. In accepting a position in Harrison School of Pharmacy, I agree to adhere to all Harrison School of Pharmacy academic standards, school policies, and Code of Ethical and Professional Conduct."

This signed acceptance shall be maintained in the student's file throughout their enrollment in HSOP. During the HSOP orientation periods for each academic year, all students will sign a reaffirmation pledge that shall read as follows:

"This is to certify that I have read and understand the *Code of Ethical and Professional Conduct* of the Auburn University Harrison School of Pharmacy and further, I agree to uphold and abide by the provisions contained therein, effective immediately and until my enrollment in HSOP is terminated. This signed reaffirmation shall be collected annually and maintained in the student's file throughout their enrollment in HSOP.

3.00 VIOLATIONS

3.01 Violations of the HSOP Code of Ethical and Professional Conduct pertaining to academic honesty include but are not limited to:

3.01.1 The receipt, possession or use of any material or assistance not allowed by the instructor in the preparation of papers, reports, assessments, or any assignment to be submitted for credit as a part of a course or to be submitted to fulfill HSOP requirements. The receipt, possession or use of any aid or material prohibited by the instructor while an assessment is in progress.

3.01.2 Knowingly giving assistance not authorized by the instructor to another in the preparation of papers, reports, laboratory data and products, or assessments.

3.01.3 Knowingly giving assistance not authorized by the instructor to another while an assessment or class assignment is in progress.

3.01.4 Lending, giving, selling or otherwise furnishing to another any material or information not authorized by the instructor which can be shown to contain the content, questions, or answers to any assessment scheduled to be given at a subsequent time.

3.01.5 The submission of papers, reports, projects or similar course requirements, or parts thereof, that is not the work of the student(s) submitting them. Also, the use of direct quotations or ideas of another in materials to be submitted for credit without appropriate acknowledgment.

3.01.6 Knowingly submitting a paper, report, assessment, or any assignment that has been altered or corrected, in part or in whole, for reevaluation or regrading.

3.01.7 Altering or attempting to alter an assigned grade on any official HSOP or University record.

3.02 Assignment-Level Violations of the HSOP Code of Ethical and Professional Conduct pertaining to academic honesty

3.02.1 When the course coordinator (instructor of record in Banner) determines that a violation of the Code has occurred involving an individual class assignment, he or she has the authority to request resolution of the charge as an Assignment-level violation through a Facilitated Meeting in accordance with Section 16.00

3.03 Violations of HSOP Code of Professional Conduct pertaining to professional conduct include:

3.03.1 Purposely falsifying applications, forms or records prior to admission to HSOP, or while enrolled in the School's professional programs.

3.03.2 Purposely falsifying patient care documentation and/or falsifying clinical information in any patient record while enrolled in the School's professional program.

3.03.3 Knowingly producing or circulating false information (or rumors) against another or providing false statements or charges in bad faith against another.

3.03.4 Knowingly accessing, publishing, or circulating unauthorized, private, or confidential information about anyone.

3.03.5 Contributing to, or engaging in, any activity which disrupts or obstructs the teaching, research or extension programs of HSOP or the University, either on the University's campuses or at affiliated training sites.

3.03.6 Threatening or purposely committing physical violence or intimidation against any member of the University faculty, student body, staff or community.

3.03.7 Misusing or misrepresenting one's status as a student pharmacist or the right to use any University property and facilities.

3.03.8 Stealing, damaging, defacing, or unauthorized use of any property of HSOP or University. Diversion of any HSOP or University property to one's own use.

3.03.9 Engaging in any facet of pharmacy practice prior to graduation unless under the direct supervision of a licensed practitioner or otherwise allowed by law.

3.03.10 Failure to maintain secure access to the HSOP buildings, affiliated training sites, or property.

3.03.11 Intentionally revealing the names of the charging party, accused, witnesses or the facts involved in an alleged violation except in accordance with the provisions of this Code, lawful subpoena, or revealing the confidential proceedings of an Honor Board hearing.

3.03.12 Failure to report known violations of HSOP's Code of Ethical and Professional Conduct.

3.03.13 Use, possession, or participating in the trafficking, theft, or diversion of controlled or illegal substances.

3.03.14 Any violation of Auburn University Policies governing student conduct or any violation of Local, State, or Federal laws/regulations.

4.00 SANCTIONS AND RECORDS

4.01 The following sanctions, alone or in combination, may be imposed for violation of the Code by the Associate Dean for Academic Programs of HSOP upon recommendation by the Board of Ethical and Professional Conduct (or "Honor Board"):

4.01.1 Reprimand with inclusion of a letter of reprimand in the student's file that is maintained in the Academic Program's Office for a period of time designated by the Associate Dean for Academic Programs. This letter will remain in the student's file for not less than the following two academic terms of residence. It will be the responsibility of the student to request removal of the letter of reprimand from his/her file after the designated time period. Such requests must be submitted in writing to the Associate Dean for Academic Programs.

4.01.2 Assignment of a grade of "F" or "U" in the course in which the violation(s) occurred.

4.01.3 Assignment of a grade of "F" or "U" in the course in which the violation(s) occurred and a notation of "assigned for academic dishonesty" placed on the student's transcript for a designated period of time as determined by the Associate Dean for Academic Programs of HSOP. It will be the responsibility of the student to request removal of the notation of sanction associated with the assignment of a grade of "F" or "U" after the designated time period. Such requests must be submitted in writing to the Associate Dean for Academic Programs.

4.01.4 Disciplinary probation for a stated period of time which will include loss of privilege to represent HSOP, hold an elected office or appointment to any HSOP committee or student organization. A notation of the conditions of probation will be included in the student's file. A student who fails to abide by the conditions of his or her probation will be subject to further disciplinary action, including suspension or expulsion. It will be the responsibility of the student to request removal of the notation of probation after this sanction has expired. Such requests must be submitted in writing to the Associate Dean for Academic Programs of HSOP.

4.01.5 Suspension from HSOP for a stated period of time during which the student will not be allowed to take any courses in HSOP or participate in school activities. Furthermore, HSOP will not accept credit for any coursework that was completed by the student at Auburn University or any other institution while he/she was suspended from HSOP. The Associate Dean for Academic Programs will notify the Alabama Board of Pharmacy of suspensions. The appropriate notation of "suspension for academic dishonesty" or "suspension for violation of the Code of Ethical and Professional Conduct" will be placed on the student's transcript. It will be the responsibility of the student to request removal of the notation of suspension after this sanction has expired. Such requests must be submitted in writing to the Associate Dean for Academic Programs.

4.01.6 Expulsion from HSOP. Expulsion for violation of the Code will be noted permanently on the student's transcript.

4.01.7 Other sanctions recommended by the Honor Board

4.02 If a student has been subjected to sanctions by the Honor Board for violation of the Code previously or has incurred 2 previous assignment-level sanctions, the minimum sanction for the current violation will be suspension.

4.03 Sanctions including probation, suspension and expulsion will apply only to HSOP and its academic programs.

4.04 If a student has been subjected to sanctions for violation of the Code, the Associate Dean for Academic Programs will submit a professionalism evaluation.

5.00 THE BOARD OF ETHICAL AND PROFESSIONAL CONDUCT

5.01 The Board of Ethical and Professional Conduct (or “Honor Board”) is charged with ensuring all aspects of the School’s *Code of Ethical and Professional Conduct* are fairly and accurately applied.

5.01.1 The Honor Board will consist of four student pharmacist members, one from each class, and three faculty members. One faculty member will be appointed by the HSOP Dean to represent each of the three academic departments of HSOP. The Dean will also appoint one alternate member from each of the three academic departments of HSOP.

5.01.2 The student members and student alternates of the Board will be chosen from the Class Justices each year by the Dean of HSOP by the process described below. Elections for Class Justices will occur individually at both the Auburn and Mobile campuses of HSOP. The representatives will be elected by classmates of their respective campus and will represent their individual class and campus as Class Justice and on the Student Council. The results of the elections will be forwarded to the Dean by the President or Vice President of the Student Council within one week. Subsequent to these elections, the Dean will name a P1 student, a P2 student, a P3 student, and a P4 student from the elected Class Justices to be the four primary student members of the Board. The Dean will also name at least four alternate student Board members, with at least one alternate representing each class, from the elected Class Justices. Each student member and alternate elected will serve a one-year term to begin immediately following the election. If a vacancy occurs during the year, the Dean will appoint a replacement to complete the term.

PROFESSIONAL YEAR P1: Within the fall semester, the Student Council will call for nominations of P1 students to represent their class as Class Justice with the understanding that the Class Justices will serve on the Board. After the nominations are closed, the President or Vice-President of the Council will contact each nominee to determine their willingness to serve on the Board. The Council will then prepare a ballot listing the names of all nominees willing to serve and conduct an election in which only members of the P1 class are eligible to vote. On the Auburn Campus, the nominees who receive the first and second highest number of votes will be elected as the P1 Class Justices. On the Mobile Campus, the nominee who receives the highest number of votes will be elected as the P1 Class Justice. The Dean will then select one primary member and one alternative member to serve on the Board from the 3 Class Justices elected across both campuses.

PROFESSIONAL YEAR P2: Within the spring semester, the Student Council will call for nominations of P1 students to represent their class as Class Justice with the understanding that the Class Justices will serve on the Board during their P2 year. Two weeks will be allowed for placement of names in nomination. After the nominations are closed, the President or Vice-President of the Council will contact each nominee to determine their willingness to serve on the Board. The Council will then prepare a ballot listing the names of all nominees willing to serve and conduct an election in which only members of the P1 class are eligible to vote. On the Auburn Campus, the nominees who receive the first and second highest number of votes will be elected as the P2 Class Justices. On the Mobile Campus, the nominee who receives the highest number of votes will be elected as the P2 Class Justice. The Dean will then select one primary member and one alternative member to serve on the Board from the 3 Class Justices elected across both campuses.

PROFESSIONAL YEAR P3: Within the spring semester, the Council will call for nominations of P2 students to represent their class as Class Justice with the understanding that the Class Justices will serve on the Board during their P3 year. Two weeks will be allowed for placement of names in nomination. After the nominations are closed, the President or Vice-President of the Council will contact each nominee to determine their willingness to serve on the Board. The Council will

then prepare a ballot listing the names of all nominees willing to serve and conduct an election in which only members of the P2 class are eligible to vote. On the Auburn Campus, the nominees who receive the first and second highest number of votes will be elected as the P3 Class Justices. On the Mobile Campus, the nominee who receives the highest number of votes will be elected as the P3 Class Justice. The Dean will then select one primary member and one alternative member to serve on the Board from the 3 Class Justices elected across both campuses.

PROFESSIONAL YEAR P4:

Within the spring semester, the Council will call for nominations of P3 students to represent their class as Class Justice with the understanding that the Class Justices will serve on the Board during their P4 year. Two weeks will be allowed for placement of names in nomination. After the nominations are closed, the President or Vice-President of the Council will contact each nominee to determine their willingness to serve and conduct an election in which only members of the P3 class are eligible to vote. The nominees who receive the first and second highest number of votes will be elected as the P4 Class Justices. The Dean will then select one primary member and one alternative member to serve on the Board from the 2 Class Justices elected.

5.01.3 The faculty members and faculty alternates will be appointed to three-year, staggered terms by the Dean. All necessary faculty appointments will be made by January 1st of each calendar year.

5.01.4 Each year the Dean will appoint one of the student members as Chairperson and one of the faculty members as Vice-Chairperson.

5.01.5 In the event that any member or alternate cannot complete his/her term, the Dean will make the appointments necessary to fill the vacancies.

5.02 The duties of the Honor Board Chairperson:

5.02.1 To call all regular and special meetings of the Board and to preside at all meetings.

5.02.2 To receive and review, with the Vice-Chairperson, all notifications of alleged violations of the Code.

5.02.3 To submit to the Dean in a timely manner, a written report of all findings and recommendations of the Board.

5.02.4 To assist the Office of the Dean in the dissemination of information concerning the provisions of the Code.

5.03 The duties of the Vice-Chairperson include:

5.03.1 Notification of Board members of all regular and special meetings called.

5.03.2 Recording the minutes of all regular and special meetings held by the Board.

5.03.3 Receiving and reviewing, with the Chairperson, all notifications of alleged violations of the Code, and notifying of all parties involved in the alleged violation as described in Sections 11.00 and 12.00.

5.03.4 Assisting the Chairperson of the Board, Office of the Dean, and the Associate Dean for Academic Programs in the notification of witnesses who are to be present at a hearing.

5.04 The functions and responsibilities of the Honor Board:

5.04.1 All members and alternates may assist the Chairperson, Vice-Chairperson and Office of the Dean with the dissemination of information concerning the provisions of the Code.

5.04.2 All members and alternates may attend and participate in all called meetings of the Board, excluding hearings.

5.04.3 It is expected that all members of the Board will afford all parties appearing before the Board the highest possible levels of respect, empathy, and courtesy.

5.04.3.1 The Chairperson or Vice-Chairperson may, with the Dean's approval, remove any Board member who treats any party before the Honor Board with disrespect.

5.05 To hear cases of alleged violations of the Code:

5.05.1 Hearings requested by students charged with violation of the Code will be heard by a Honor Board Hearing Committee which will consist of the Chairperson, Vice-Chairperson, and the primary student and faculty members of the Board.

5.05.2 In the event that a member of Honor Board Hearing Committee is excused or cannot be present to hear a case, alternate members will represent the appropriate pharmacy class or department as a member of the Board in place of the excused or absent member.

5.05.3 In the event that a member of the Honor Board is involved as a charging party or witness in the violation to be heard by the committee, the Chairperson will excuse that member and may appoint the alternate member to represent the appropriate pharmacy class or department as a member in place of the excused member.

5.05.4 In the event the Chairperson is involved as a charging party or witness or is the accused in the violation to be heard by the committee, the Vice-Chairperson will excuse the Chairperson and will appoint an alternative Board representative from the class in which the Chairperson was a member of. In this case, the Vice-Chairperson will appoint a temporary Chairperson.

5.05.5 In the event the Vice-Chairperson is involved as a charging party or witness to the violation to be heard by the committee, the Chairperson will excuse the Vice-Chairperson and will appoint an alternative Board representative from the department in which the Vice-Chairperson was a member of. In this case, the Chairperson will appoint a temporary Vice-Chairperson.

5.05.6 If neither a member nor alternate member of the Board can be present to hear a case, the Board Hearing Committee may proceed provided the Chairperson, Vice-Chairperson and three other members, or duly appointed alternates are present.

5.05.7 Honor Board Hearing Committee members or duly appointed alternates must be present during the entire hearing process to participate in subsequent deliberations.

5.05.8 All recommendations of the Board will be determined by simple majority vote. Each member present will cast a vote of guilty or not guilty. The Chairperson will vote only in the event of a tie.

5.05.9 One faculty member of the Board will serve as the facilitator for Facilitated Meetings to resolve assignment-level violations when a Facilitated Meeting is requested by both the course coordinator (instructor of record in Banner) and the charged student. The Vice-Chairperson will be responsible for designating the faculty member who will serve as the facilitator for each meeting.

5.05.10 All recommendations and findings of the Board Hearing Committee will be forwarded to the Associate Dean for Academic Programs in a timely manner by the Vice-Chairperson.

6.00 RESPONSIBILITIES OF THE OFFICE OF ACADEMIC PROGRAMS

6.01 To administer the pledge (Section 2.01) to all students entering the professional programs of HSOP.

6.02 To provide information concerning the provisions of the Code and modifications of the Code to faculty, students and staff of HSOP.

6.03 To assist the Honor Board and any party involved in cases of alleged violation of the Code if such assistance is requested at a reasonable time prior to the scheduled hearing (Section 13.02).

6.04 To maintain confidential files regarding violations of the Code and all records concerning the findings and recommendations of the Honor Board

6.04.1 All records concerning violations of the Code will be filed for a period of six (6) years following hearing the case. Access to these records will be limited as indicated by applicable law, University Policy concerning student records, and the provisions of the Code.

6.05 To notify the accused party and the charging party of the Board's recommendations and to implement sanctions as described in Section 15.00 and Section 16.00.

6.06 To direct all appeals to the Office of the Dean described in Section 17.00.

6.07 To implement all sanctions as described in Section 4.00.

7.00 COMMUNICATION

7.01 Auburn University has designated student email addresses as an official means of communication; all written communication regarding violations of the Code shall be through the Auburn University email system.

8.00 HEARINGS AND FACILITATED MEETINGS

8.01 A student has the right to a hearing before the Honor Board for any charge of violation of the Code. If the student desires a hearing, he/she must file a written request with the Vice-Chairperson of the Board as set forth in Section 12.02. The right of a student to be heard will be waived if such a request is not filed within the time required by Section 12.02.

8.02 A student who has been accused of an assignment level violation of the Code in accordance with Section 3.02 has the right to request either a hearing for the charge of the full HSOP Honor Board as set forth in Section 12.02 or may request a Facilitated Meeting as set forth in Section 16.00. A student may not request a Facilitated Meeting unless the charging party (the instructor of record in Banner) has also requested a Facilitated Meeting.

8.02.1 In cases involving more than one (1) accused student, the request for a hearing or Facilitated Meeting will be requested by each individual student.

9.00 RIGHTS OF THE ACCUSED PARTY

9.01 The party accused of a violation of the Code has the following rights:

9.01.1 The right to be informed in writing of the specific charge or charges made against him/her and of any sanctions recommended by the charging party.

9.01.2 The right to be informed in writing of the right of hearing, procedures involved in the hearing and the names of known witnesses.

9.01.3 The right to request a Facilitated Meeting or hearing for assignment-level violations of the Code

9.01.4 The right to receive written notice of the time and place of the hearing or Facilitated Meeting regarding the charge or charges if a hearing or Facilitated Meeting is requested by the student.

9.01.5 The right to present witnesses and evidence and to be present throughout the presentation of all witnesses and evidence at the hearing or Facilitated Meeting, if a hearing or Facilitated Meeting is requested by the student.

9.01.6 The right to have sanctions deferred until completion of the process described herein, including appeals to the Dean of HSOP and the Provost and Vice-President for Academic Affairs of Auburn University.

9.02 It is advisable for any party accused of a violation of the Code to familiarize themselves with the Auburn University *Code of Student Conduct*:

<https://sites.auburn.edu/admin/universitypolicies/Policies/CodeofStudentConduct.pdf>

10.00 RIGHTS OF THE CHARGING PARTY

10.01 A member of the faculty, staff or student body who has submitted a written notice of an alleged violation (Section 12.00) is the charging party and as such has all the rights guaranteed the accused, including the right of appeal (Section 9.00).

11.00 PROCEDURES FOR FILING CHARGES

11.01 When a course coordinator (instructor of record in Banner) or an instructor detects or witnesses a violation of the Code pertaining to academic honesty, he/she shall provide a written notice of the alleged violation(s) and any recommended sanctions to the Vice-Chairperson of the Board within ten (10) working days of the time the alleged violation becomes known. Under no circumstances shall any accusation be made in public. For allegations of assignment-level violations of the Code, the charging party must indicate any request for a Facilitated Meeting in this written notice.

11.02 When a student or person other than an instructor detects or witnesses a violation of the Code pertaining to academic honesty he/she is advised to consult with the course coordinator (instructor of record in Banner) in which the alleged violation occurred. Under these circumstances the course coordinator (instructor of record in Banner) will then prepare a written notice and file the notice as described in Section 11.01 if he/she determines that the facts warrant such action. A student or person other than an instructor who detects or witnesses a violation of the Code pertaining to academic honesty may file written notice of the alleged violation directly to the Vice-Chairperson of the Board within ten (10) working days of the time the alleged violation becomes known as described in Section 11.01. Under no circumstances shall any accusation be made in public.

11.03 Any person who detects or witnesses a violation of the Code pertaining to professional conduct shall provide written notice of the alleged violation to the Vice Chairperson of the Board within ten (10) working days of the time the alleged violation becomes known. Under no circumstances shall any accusation be made in public.

12.00 PROCEDURES FOR PROCESSING CHARGES

12.01 The Vice-Chairperson of the Board will receive all written notices of alleged violations of the Code, and they shall prepare a written notice of charges which includes a specific listing of the charge or charges, the names of any known witnesses and a statement of the student's right to a hearing as well as the procedures involved in the hearing. If the student is accused of an assignment level violation of the Code and the charging party has requested a Facilitated Meeting, the Vice-Chairperson of the Board will notify the student of his/her right to a full hearing or the right to request a Facilitated Meeting as well as the procedures involved in the Facilitated Meeting. Copies of this written notice are to be provided to the student accused of the violation, the charging party and the course coordinator (instructor of record in Banner) in which the alleged violation occurred (if relevant), the Associate Dean for Academic Programs, and the Chairperson of the Board within five (5) working days of receipt of written notice of the alleged violation(s).

12.02 If the student charged with violation of the Code desires a hearing before the Board, he/she must file a written request for a hearing to the Vice-Chairperson of the Board within five (5) working days after receipt of notice of the charge(s) (Section 12.01). This request should include any reply or response the accused student wishes to make to the charges and the names of witnesses willing to testify on his/her behalf. If the student charged with an assignment-level violation of the Code where the charging party has requested a Facilitated Meeting also desires a Facilitated Meeting, he/she must file a written request for the Facilitated meeting to the Vice-Chairperson the Board within five (5) working days after receipt of notice of the charge(s) (Section 12.01). This request should include any reply or response the accused student wishes to make to the charges and the names of witnesses willing to testify on his/her behalf. The Vice-Chairperson will then send a copy of the request for hearing or Facilitated Meeting to all parties who received a copy of the written notice described in Section 12.01.

12.03 If the student charged with a violation of the Code does not request a hearing/Facilitated Meeting or fails to request a hearing/Facilitated Meeting within the time allowed (Section 12.02), the Honor Board will consider the case based on the presentation of evidence brought by the charging party and

will submit its findings and recommendations to the Associate Dean for Academic Programs. Such deliberations will follow hearing procedures outlined in section 14.00 and shall be scheduled no later than fifteen (15) working days after the student charged has received the notice of the charge(s) (Section 12.01).

12.04 If the student charged with a violation of the Code requests a hearing or Facilitated Meeting, a date shall be set for a hearing/Facilitated Meeting and all parties involved will be notified by the Board of the date, time and place. The hearing shall not be scheduled less than five (5) working days from date of the request for hearing (Section 12.02).

13.00 PRESENTATION OF EVIDENCE AND WITNESSES

13.01 Each party shall have the right to present evidence and witnesses in accordance with Section 12.01 and Section 12.02 at the hearing or Facilitated Meeting and to be present throughout the presentation of all witnesses and evidence.

13.02 Each party shall arrange for the attendance of their own witnesses. The Office of Academic Programs may assist in securing the attendance of witnesses if a written request for such assistance is submitted to the office a reasonable time in advance of the hearing or Facilitated Meeting date. If either party requests that additional witnesses be present for good cause as determined by the Vice-Chairperson of the Board, the Honor Board may defer the hearing until such time that the witnesses may appear and be questioned.

13.03 The Honor Board may request the appearance of additional witnesses if the Board determines that such witnesses could present relevant information.

13.04 Any witness who wishes or needs to be excused should, in advance of the hearing, confer with the Office of Academic Programs. The decision reached during this conference will be communicated immediately by the Associate Dean for Academic Programs to the Vice-Chairperson of the Board who will then promptly relay any such information to all parties.

13.05 If a witness fails or refuses to appear, the Honor Board shall first determine whether or not to proceed on the basis of other evidence or witnesses available. If it is the decision of the Honor Board to proceed, the challenged portions of any written statements provided by the absent witness shall be disregarded.

14.00 HEARING PROCEDURES

14.01 The Honor Board will conduct the hearing and all of its deliberations in closed and confidential session. All hearing proceedings shall be recorded. Deliberations shall not be recorded.

14.02 The hearing will be called to order by the Chairperson who will then identify by name members of the Honor Board who are present for the record.

14.03 The Chairperson will then identify by name the student charged with the alleged violation of the Code and his/her witnesses and the charging party and his/her witnesses.

14.03.1 In the event the student charged with the alleged violation of the Code or any of his/her witnesses or the charging party or any of his/her witnesses fail to appear, the Honor Board shall determine whether or not to proceed based on the witnesses and evidence available.

14.04 The Chairperson will read the charge and poll each member of the Honor Board to determine if any member has a prior opinion of guilt or innocence.

14.04.1 Any member of the Honor Board who has a prior opinion of guilt or innocence will be excused and the alternate member will hear the charge and a prior opinion of guilt or innocence will be determined.

14.05 The presentation of all evidence and witnesses to the Honor Board and questioning by the members of the Honor Board will proceed generally as described by the following:

14.05.1 The charging party, the student charged with the alleged violation of the code, and witnesses shall refrain from conversing with each other during the hearing.

14.05.2 The charging party will present his/her evidence and witnesses.

14.05.3 The student charged with an alleged violation of the Code will present his/her evidence and witnesses.

14.05.3.1 The charged student is encouraged to give a statement and to cooperate with the Honor Board on their case.

14.05.4 The members of the Honor Board will ask questions of all parties to the Board's satisfaction.

14.05.5 The student charged may submit questions in writing to the Chairperson to ask of the charging party or witnesses.

14.05.6 The charging party may submit questions in writing to the Chairperson to ask of the student charged or witnesses.

14.05.7 The Chairperson may recognize others present to speak if the Chairperson believes that the information provided is needed for the Honor Board to discharge their duties.

14.05.8 Following the presentation of all evidence and witnesses to the Honor Board and questioning by the members of the Honor Board, the charging party, and the student charged, all parties will be excused while the Honor Board deliberates.

14.05.8.1 The parties will remain available in the event that they are recalled as described in Section 14.05.09

14.05.9 The Chairperson may recall the parties for further questioning if it is deemed necessary for the Honor Board to discharge their duty. All parties have the right to be present during further questioning.

14.06 The Chairperson may grant a recess at the request of members of the Honor Board or the parties involved to allow time for further preparation.

14.07 The Chairperson and members of the Honor Board shall not discuss the evidence or testimony in the presence of the parties.

15.00 BOARD HEARING COMMITTEE DELIBERATIONS

15.01 The burden of proof rests with the charging party and will be satisfied by any clear and convincing evidence in the record when considered as a whole.

15.02 The failure of the student charged with an alleged violation of the Code to make a statement or to answer any or all questions shall not be considered in the determination of guilt or innocence by the Honor Board.

15.03 The Honor Board will begin deliberation immediately following the hearing and continue their deliberations until verdict of guilty or not guilty is reached. The verdict will be determined by simple majority vote as stipulated in Section 5.04.3.8. Abstentions on a vote of guilty/not guilty will be counted as votes for acquittal.

15.04 A student's prior record of sanctions of the Code or professionalism evaluations shall be inadmissible as evidence to provide innocence or guilt. The student's prior record of sanctions of the Code or professionalism evaluations must be considered by the Honor Board in the determination of the appropriate sanctions if the student is judged guilty of the present violation.

15.05 In the event a verdict of guilty is reached, the Honor Board will consider recommended sanctions as stipulated in Section 4.00.

15.06 Once a hearing is concluded, the findings and recommendations of the Honor Board shall be submitted to the Associate Dean for Academic Programs in a timely manner by the Vice-Chairperson. In the event a verdict of guilty is reached, the Honor Board will submit its findings and recommended sanctions to the Associated Dean for Academic Programs.

16.00 FACILITATED MEETING PROCEDURES

16.01 Facilitated Meetings may be requested in lieu of a full Honor Board hearing for assignment-level violations of the Code in accordance with Section 3.02.1, Section 8.02, Section 12.01, and Section 12.02. A facilitated meeting will only occur if both parties consent. Facilitated Meetings may not be requested for other allegations of violations of the Code due to academic dishonesty unrelated to a class assignment or due to professional conduct.

16.02 The Vice-Chairperson of the Board will assign each reported alleged assignment level violation of the Code to a faculty member of the Honor Board who becomes the facilitator for the Facilitated Meeting.

16.03 The Facilitated Meeting will be conducted in a closed and confidential session. All Facilitated Meeting proceedings shall be recorded by the facilitator.

16.04 The Vice-Chairperson has five (5) working days after receiving a request for a Facilitated Meeting by the charged student to obtain consent from the course coordinator (instructor of record in Banner) and to begin scheduling the meeting with the student, Facilitator, and course coordinator (instructor of record in Banner). Involved parties shall be notified of the time, date, and place of the meeting.

16.05 The meeting will be a discussion between the course coordinator (instructor of record in Banner) and the student about the incident and will be facilitated by the Facilitator as a means of reaching a mutually satisfactory agreement that will conclude the matter, upon approval by the Associate Dean for Academic Programs, and preclude the involvement of the full Honor Board.

16.06 The Facilitator will not serve as a determiner of fact or make decisions on the outcome. The Facilitator's purpose is to assist in achieving a fair and focused discussion.

16.07 All parties will state their perspectives and provide any supporting evidence they have at the time of the meeting.

16.08 The meeting is not a hearing; the intention of the meeting is to discuss the charges and identify a resolution that is mutually agreeable to the charged student and the course coordinator (instructor of record in Banner) attending the meeting.

16.09 Agreements may include appropriate sanctions determined by parties in accordance with Section 4.00 or withdrawing of the charges by the charging party.

16.10 If an agreement is reached during the Facilitated Meeting, it will be submitted by the Facilitator to the Vice-Chairperson of the Board who will submit the agreement in a timely manner to the Associate Dean for Academic Programs for approval.

16.11 If no agreement on a sanction can be reached during the meeting with the appointed Facilitation, the Facilitator will inform the Vice-Chairperson of the Board and the Associate Dean for Academic Programs that an acceptable resolution was not reached, and all involved parties will receive a copy of the notification.

16.11.a When an agreement is not reached, the charged student will be notified that they may request a full hearing which shall follow all procedures laid out in Section 14.00. If the charged student does not request a hearing or fails to request a hearing within five (5) working days of the Facilitated Meeting, the Honor Board will consider the case based on the available evidence and will submit its findings and recommendations to the Associate Dean for Academic Programs. Such deliberations will follow hearing procedures outlined in Section 14.00 and shall be scheduled no later than fifteen (15) working days after the date the Facilitated Meeting.

17.00 ACTIONS IN RESPONSE TO BOARD HEARING COMMITTEE'S FINDINGS

17.01 The Associate Dean for Academic Programs will receive the findings and recommendations of the Honor Board, and notify the parties involved of the action to be taken by HSOP.

- 17.01.1 The Associate Dean for Academic Programs will notify the student charged, in writing, of the findings and, in the case of a guilty verdict, any sanctions to be imposed. Copies of this notification of action shall be sent to all parties.
- 17.01.2 If the Associate Dean for Academic Programs is the charging party, the Dean will receive the findings and recommendations of the Honor Board, and notify the parties involved of the action to be taken by HSOP. The Dean will then notify the student charged, in writing, of the findings and, in the case of a guilty verdict, any sanctions to be imposed. Copies of this notification of action shall be sent to all parties.
- 17.02 Upon notification of action, either party may appeal to the Dean as stipulated below:
- 17.02.1 The appeal must be filed in writing within five (5) working days after receipt of notification of the action described in Section 17.01. The appeal must include a statement of the asserted facts and the argument concerning appeal.
- 17.02.2 The Dean shall send a copy of the appeal to all parties who received the notification of action described in Section 17.01. The other parties may submit a written response to the appeal within five (5) working days of receipt of the appeal described in Section 17.02.1.
- 17.03 The Dean shall consider the appeal and any responses by the other parties.
- 17.03.1 The Dean may return the case to the Honor board if additional evidence is brought to his/her attention which was not presented during the hearing and which could affect his/her decision regarding the case. In this event the Honor Board will consider the additional evidence and report its findings and recommendations to the Dean.
- 17.03.2 Prior to any change in recommendation or sanction, the Dean will confer with the Honor Board.
- 17.04 The Dean shall notify all parties of his/her decision(s) regarding the appeal. This notification shall represent HSOP's final action.
- 17.05 Upon notification of final action (Section 16.04), either party may appeal to the Provost and Vice President for Academic Affairs of Auburn University (or designee).
- 17.05.1 Such appeals must be made in writing within five (5) working days after receipt of notification from the Office of the Dean regarding the preliminary appeal (Section 17.04). Appeals to the Provost and Vice President for Academic Affairs of Auburn University must include a full statement of asserted facts and the argument concerning appeal. The appealing party shall send a copy of the appeal to the Office of the Dean of HSOP, and that office will send a notice of appeal to all parties who received notice of the actions to be taken by HSOP as stipulated in Section 17.01. The other party may submit a written response within five (5) working days of notification of appeal to the Provost and Vice President for Academic Affairs. The Provost and Vice President for Academic Affairs will consider the appeal and any response. The Provost and Vice President for Academic Affairs will then respond in writing to the appealing party and send notification of this response to all parties who received notice of this appeal. The Provost and Vice President for Academic Affairs' decision will constitute the final action of Auburn University.
- 17.06 The Associate Dean for Academic Programs shall notify the Registrar in writing when the notation "assigned for academic dishonesty" is to be placed on a transcript and/or when suspension or expulsion is assigned. Such notification shall not be given for five (5) working days after the Dean's notification of findings and sanctions (Section 17.01) or until after completion of all appeals (Sections 17.02 and 17.05), whichever is later.
- 17.07 The Office of Academic Programs shall monitor probation.
- 17.08 A student may not graduate during the appeal process.
- 17.09 The student shall be responsible for requesting removal of any notation of sanction from his/her record (Section 4.00) when the period of sanction has expired. Such requests must be made in writing to

the Office of Academic Programs, who will notify the Registrar in writing to remove the notation of sanction from the student's record.

17.10 A student returning after completion of a suspension will follow the same procedure of registration as any other returning student.

18.00 AMENDMENTS AND REVISIONS

18.01 Proposed amendments and revisions shall be submitted to the faculty and student body of HSOP through the Board of Ethical and Professional Conduct. A majority vote of the student body and a majority vote of the faculty is necessary for the adoption of amendments, with a majority defined as greater than 50% of those voting. Amendments and revisions so adopted are then subject to the approval of the Dean of HSOP and the Provost and Vice President for Academic Affairs of Auburn University.

Appendix A

HSOP Covenant

A Pledge Between Faculty and Students

FACULTY

1. We pledge our best effort to ensure a high-quality educational program for our students.
2. As mentors, we will maintain high professional standards in our interactions with students, our colleagues, and staff.
3. We respect all students regardless of gender, race, national origin, religion, or sexual orientation; we will not tolerate anyone who disrespects students because of biased attitudes or beliefs and will take appropriate actions against such individuals.
4. We pledge to be cognizant when students are having personal or academic problems and seek appropriate resources to provide help.
5. In encouraging and nurturing the intellectual, personal, and professional growth of our students, we celebrate expressions of professional attitudes and behaviors, as well as academic achievement.
6. We do not tolerate any abuse or exploitation of our students (or faculty).
7. We encourage any student who experiences mistreatment or who witnesses mistreatment or unprofessional behavior to report the facts (preferably in writing) immediately to appropriate faculty or staff; we treat all such reports as confidential and do not tolerate reprisals or retaliations of any kind.

STUDENTS

1. We pledge our utmost effort to acquire the knowledge, skills, attitudes, and behaviors required to fulfill all educational objectives established by the faculty AND our obligations to patients.
2. We hold the professional virtues of honesty, compassion, integrity, fidelity, and dependability as standards to conduct in a profession.
3. We respect all faculty members, staff, and fellow students regardless of gender, race, national origin, religion, or sexual orientation; we will not tolerate anyone who disrespects faculty, students, or staff because of biased attitudes or beliefs and will take appropriate actions against such individuals.
4. We pledge to conduct ourselves as professionals, demonstrating respect for faculty, colleagues, and staff.
5. In meeting our professional obligations, we pledge to assist our fellow students in meeting their professional obligations as well.

** Adapted from, Cohen, JJ. Our compact with tomorrow's doctors. Academic Medicine. 77;6: 475-480.*

Last Updated: February 21, 2017