

NATIONAL LOUIS UNIVERSITY

HUMAN RESOURCES POLICY AND PROCEDURE

POLICY TITLE:	Code of Conduct
EFFECTIVE DATE:	January 2005; Amended October 2021
SCOPE:	All NLU Employees: Full-time Faculty, Part-time Faculty, Full-time Staff, Part-time Staff, Adjunct Faculty, Student Employees, Visitors

PURPOSE

All members of the NLU community who act for or on behalf of the University share responsibility for the welfare of the University. That obligation extends to all components of the University enterprise. University communities depend on the integrity, honesty, good citizenship, and professional conduct of its members. Accordingly, this policy describes professional and business standards of behavior and defines violations against accepted standards of language, behavior and conduct in the workplace for employees of NLU and for individuals acting on behalf of NLU.

POLICY

National Louis University officers, employees and agents are expected to follow all University policies, and federal, state, and local laws in conducting University business, and to always act with honesty, integrity, loyalty, trustworthiness, fairness and responsibility.

Consistent with local, state and federal law, the University will not tolerate any employee's conduct, whether intentional or unintentional, that results in harassment, discrimination or creation of an offensive and/or hostile work environment for anyone, including but not limited to an individual's sex, race, religion, creed, national origin, disability, age, veteran's status, pregnancy, gender identity, or sexual orientation.

The University realizes that each employee brings his or her own unique perceptions and values to the workplace, and the University seeks to facilitate the free exchange of ideas among employees by creating an inclusive and respectful work environment. It is the responsibility of the University to develop, practice and enforce code of conduct standards by the way we act and speak while performing our day-to-day job related functions.

This policy is designed to balance the commitment to free inquiry with the need of the University to maintain a culture of respect among its employees and external parties. It is not to restrict the rights of anyone, but to define and protect the rights of all and foster mutual respect and cooperation.

STANDARDS OF CONDUCT

The University holds itself and community members to the following standards of conduct:

Act Ethically and with Integrity. Ethical conduct is a fundamental expectation for every community member. In practicing and modeling ethical conduct, community members are

expected to:

- act according to the highest ethical and professional standards of conduct;
- be personally accountable for individual actions;
- conscientiously fulfill obligations towards students, advisees, colleagues, supervisors, alumni, and the community at large in performing duties as part of the University community; and
- communicate ethical standards of conduct through instruction and example.

Be Fair, Inclusive and Respectful to Others. The University is committed to creating a welcome environment through acceptance, diversity, and respect for differences. When dealing with others, community members are expected to:

- be respectful, fair, and civil;
- speak candidly and truthfully;
- refrain all forms of harassment, illegal discrimination, threats, or violence;
- provide equal access to programs, facilities, and employment; and
- promote conflict resolution
- champion teamwork and employee participation, permitting the representation of all groups and employee perspectives.

Manage Responsibly. The University entrusts community members who supervise or instruct employees or students with significant responsibility. Managers, supervisors, instructors, and advisors are expected to:

- ensure access to and delivery of proper training and guidance on applicable workplace and educational rules, policies, and procedures, including this Code of Conduct;
- ensure compliance with applicable laws, policies, and workplace rules;
- review performance conscientiously and impartially;
- foster intellectual growth and professional development; and
- promote a healthy, innovative, and productive atmosphere that encourages dialogue and is responsive to concerns.

Protect and Preserve University Resources. The University is dedicated to responsible stewardship. Community members are expected to:

- use University property, equipment, finances, materials, electronic and other systems, and other resources only for legitimate University purposes;
- prevent waste and abuse;
- promote efficient operations;
- follow sound financial practices, including accurate financial reporting, processes to protect assets, and responsible fiscal management and internal controls; and
- engage in appropriate accounting and monitoring.

Promote a Culture of Compliance. The University is committed to meeting legal requirements and to fostering a culture of ethics and compliance. Community members are expected to:

- learn and follow the laws, regulations, contracts, and University policies and procedures applicable to University activities;
- be proactive to prevent and detect any compliance violations;
- report suspected violations to supervisors or other University officials; and
- ensure that reports of violations within their area of responsibility are properly resolved, including disclosure to sponsors or other state or federal authorities as appropriate.

Avoid Conflicts of Interest and Commitment. Community members have an obligation to be objective and impartial in making decisions on behalf of the University. To ensure this objectivity, community members are expected to:

- avoid actual individual or institutional conflicts of interest;
- disclose potential conflicts of interest and adhere to any management plans created to eliminate any conflicts of interest; and
- ensure personal relationships do not interfere with objective judgment in decisions affecting University employment or the academic progress of a community member.

Carefully Manage Public, Private, and Confidential Information. Community members are the creators and custodians of many types of information. The public right to access and the individual's right to privacy are both governed by laws and University policies. To meet these responsibilities, community members are expected to:

- learn and follow laws and University policies and agreements regarding access, use, protection, disclosure, retention, and disposal of public, private, and confidential information;
- follow document preservation and retention guidelines; and
- maintain data security using electronic and physical safeguards.
- understand the university FERPA policy and ensure all student information is safeguarded in alignment with this.

Promote Health and Safety in the Workplace. Community members have a shared responsibility to ensure a safe, secure, and healthy environment for all University students, faculty, staff, volunteers, and visitors. Community members are expected to:

- follow safe workplace practices, including participating in applicable education sessions, using appropriate personal safety equipment, and reporting accidents, injuries, and unsafe situations;
- maintain security, including securing University assets and facilities;
- report suspicious activities; and
- protect the environment, including carefully handling hazardous waste and other potentially harmful agents, materials, or conditions.

DELEGATION OF AUTHORITY

The president or delegate shall ensure that appropriate administrative policies are maintained to support this Code, and shall effectively promulgate this Code and any supporting administrative policies or procedures through appropriate and periodic explanation, education, and evaluation.

Violations of conduct include but are not limited to:

1. Creation of an unwelcoming and/or hostile work environment for any employee, student, volunteer, vendor, contractor, visitor or guest.
2. Discrimination on the basis of sex, race, religion, creed, national origin, disability, age, veteran's status, gender identity, or sexual orientation.
3. Communication and/or behavior that is unwanted, threatening, harassing (including sexual harassment), intimidating, bullying, ridiculing, deliberately malicious, profane, vulgar, insulting, abusive and/or crude in nature;

4. Forcible detention, actual or threats of physical or emotional harm, bullying, harassment, or intimidation of a member of the University community, including external parties;
5. Bringing firearms or other deadly weapons onto any University property
6. Intentional or through gross negligence, causing or creating a safety, health, or fire hazard that is injurious to the well-being of the members of the University community and/or causes the damage or destruction of property belonging to the University property or its members
7. Unauthorized, improper, or illegal use of systems, data, or equipment.
8. Theft, fraud, or embezzlement from the University, including its employees, students, vendors, contractors, partners, visitors and guests
9. Falsifying records (including, but not limited to student records, employment applications, employee absence, timesheet, or other payroll documents, University business documents or communications) or filing false claims under any benefit plan, such as health insurance or worker's compensation, etc.
10. Improper disclosure or use of private or confidential information.
11. Refusing to cooperate in a formal University investigation. This also includes dishonesty; providing inaccurate, misleading, or omission of information in a University investigation.
12. Buying, selling, dealing, giving/serving, possessing, taking, or being impaired by federally illegal drugs, misuse of prescription/legal drugs, or alcoholic beverages during working hours and/or on University premises, except as reasonable consumption may be authorized at a University-sponsored function. Smoking/Vaping inside any University property is also prohibited.
13. Engaging in any illegal activity, including violating any federal, state, or local law, during working hours, or on University premises.
14. Receiving a felony conviction and/or failing to report receipt of a felony conviction for which termination/ineligibility to hire, is appropriate in light of the employee's position and the University's business necessities.
15. Gross dereliction of duties.
16. Insubordination.

This list is not intended to be all-inclusive, but a guide for professional conduct requirements of all University employees. The University reserves the right to deem any other conduct, at its sole discretion, seriously detrimental to the University or members of its community.

Any employee of the University who feels that he or she is the recipient of such conduct should report such violations immediately to the Office of Human Resources or any member of management.

All complaints will be investigated promptly and where necessary immediate and appropriate action will be taken to stop and remedy any such conduct. Any manager, supervisor, agent, or employee found in violation of this policy will be subject to immediate disciplinary action, up to and including termination.

If there is an actual or perceived conflict of interest involving the actions of the designated University official or University office typically responsible for handling matters of concern for a student or employee, an alternative University representative or University office can be contacted instead. Alternate representatives may include the Student Services Office, the University Ombudsperson, Provost's Office or Office of Human Resources. The alternate University representative or office may then designate an impartial and appropriate University official to resolve the matter following applicable University policy.

Supervisor's Role

As a supervisor you are required to:

1. Communicate the Code of Conduct to your new and current employees.
2. Conduct your relationships with employees, students and suppliers in an ethical and professional manner.
3. Recognize and report Code of Conduct violations.
4. Refrain from discussing the issue with suspected individuals or with anyone outside National Louis University.
5. Discuss violations only with those inside National Louis University who need to know.

PROCEDURE

If you learn or suspect that a violation has occurred:

1. Immediately contact your supervisor and/or Office of Human Resources
2. The appropriate supervisor, in conjunction with the Office of Human Resources, should gather and review all facts. You may be asked to review documentation for accuracy and completeness. Employees are required to cooperate with supervisors in all aspects of the investigation.
3. The supervisor, in conjunction with the Office of Human Resources, will recommend a course of corrective and/or disciplinary action, taking into consideration prior resolution of similar problems. Approval of the Office of Human Resources must be obtained for any disciplinary action to be taken.
4. The offending employee may be terminated if the conduct warrants separation.

National Louis University reserves the right to modify or amend this policy at any time, at its sole discretion. Any changes to this policy will become effective at the time designated above and the changes will apply to current and future employees. This policy does not constitute any express or implied contract between NLU and any past, present, or prospective employee (including administrator, faculty, or staff), contractor or volunteer.