CDU Policy I.E.00360 Code of Conduct

ISSUING OFFICER: Director of Human Resources

RESPONSIBLE OFFICE: Department of Human Resources

EFFECTIVE DATE: September 1, 2004

REVISED DATE: October 29, 2010

SUPERSEDES: CDU Policy I.E.00360, dated September 1, 2004

POLICY I.E.00360 Code of Conduct

REFERENCES AND RELATED POLICIES

CDU-APM I.E.00390 (Consensual Relationships and Professional Behavior)
CDU-APM I.D.00010 (Finance Policies)
CDU-APM I.E.00650 (Records Retention)
CDU-APM I.E.00370 (Conflict of Interest)

The University has a fiduciary responsibility to fulfill its mission in compliance with applicable policies, laws, regulations, contracts, grants and donor restrictions. All employees are entrusted with the responsibility of preserving University resources and using those resources in a prudent manner for their designated purposes.

Codes of Conduct are intended to serve as a guide for each employee’s conduct. Recognizing that it is impossible to describe all of the types of conduct that could lead to legal or ethical problems, the University depends upon each employee to rely upon his or her best judgment with the understanding that problematic ethical questions should be referred to their supervisors.

The objective of Codes of Conduct (i.e., Code) is to provide employees with an overview of the University’s ethical expectations. This Code is designed to alert you to the types of conduct that could create risk exposures for the University and the employee. Failure to adhere to the Codes may jeopardize the University’s reputation and standing; subject Charles Drew University to regulatory or legal sanctions; and/or, lead to disciplinary action, including the possibility of discharge from employment.

Any employee who knows or has reason to believe that a University process, activity, or transaction is not in compliance with the below Codes shall promptly report such matter to their immediate supervisor. Financial and ethical Code infractions can also be reported to the University Auditor or anonymously reported on the University’s Alert Line - (800) 716-9007 or log on to www.MySafeCampus.com.
A. RESPECT FOR PERSONS AND PROPERTY

1. Charles Drew University places a high value on human relations, human diversity and human rights. Consistent with these values, the University strives to maintain a work environment that is characterized by mutual respect for all individuals.

2. Members of the Charles Drew University community must be responsible caretakers of the University’s resources. Consistent with this value, employees are expected to exercise reasonable care in the use of University property and to report any damage to University property to their immediate supervisor.

B. EMPLOYEE CONDUCT

1. Each officer, department chair/head, faculty, administrator and employee must perform his or her employment responsibilities in good faith, in a manner that he or she reasonably believes to be in the best interest of the University and, with due care that a reasonably prudent person in the same position would use under similar circumstances.

2. Employees must avoid all illegal conduct and are expected to avoid efforts to circumvent laws, regulations and University policies and procedures by devious means or questionable interpretations. No employee shall take any action that he or she knows or should know is in violation of any statute, rule or regulation.

3. Each employee should be open and honest in his or her business relationships with other employees and students. It is unacceptable to provide information that is known to be inaccurate, misleading or incomplete.

C. SUPERVISORY – SUBORDINATE RELATIONSHIPS

(A) The supervisory/subordinate relation should be guided by professional conduct and fiduciary duty. Supervisory - subordinate romantic or sexual relationships carry a risk of conflict of interest, breach of trust, and abuse of power and therefore must be avoided.

(B) Violations of this Code will be considered misconduct on the part of a faculty member and will be subject to University sanctions up to and including termination of appointment.

D. RESEARCH ETHICS

The University is committed to research excellence. Management, faculty and employees must create and maintain a research climate of privacy and integrity. All research must be conducted free from conflict of interest or financial impropriety. Any human being asked to participate in any research activity will be given a full explanation of expected benefits and potential risks. All Principle Investigators and staff involved in conducting research
must comply with regulatory standards regarding the protection of human research subjects and the use of animals.

E.  IMPROPER PAYMENTS

No employee shall engage, either directly or indirectly, in any corrupt business practice, including bribery, kickbacks or payoffs, intended to induce, influence or reward favorable decisions of any government personnel or representative, any customer, contractor or vendor in a commercial transaction, or any person in a position to benefit the University or the employee. No employee shall make or offer to make any payment or provide any other item of value to another person or entity with the understanding or intention that such payment is to be used for an unlawful or improper purpose.

F.  DEALING WITH ACCREDITING BODIES

Charles Drew University will deal with all accrediting bodies in a direct, open and honest manner. Under no circumstances should an employee directly or indirectly mislead an accreditor or the survey team.

G.  INTEGRITY OF FINANCIAL REPORTING

a. Management shall ensure that assets and liabilities are accounted for properly in compliance with all tax and financial reporting requirements, generally accepted accounting principles, and established University accounting, control, and financial reporting policies. All items of income and expense and all assets and liabilities shall be entered on the University’s financial records. All reports submitted to governmental authorities shall be accurately made, all transactions shall be executed in accordance with management’s authorization, and access to assets shall be permitted only in accordance with such authorization.

b. The University’s Finance Department adopts guidelines and policies regarding internal controls, as well as guidelines and policies applicable to financial reporting, for specific transactions. Those guidelines and policies are adopted by reference herein, and the financial officers and employees whose responsibilities fall within the administrative and financial areas must review and comply with these guidelines and policy statements.

H.  CONTROL OF FUNDS

Each officer, dean, department chair/head, or administrator must monitor the commitment and expenditure of University funds by persons under his or her authority. To that end, reasonable assurances should be made that expenditures or transfers of University funds are supported by documentation, made for valid business purposes, and are properly authorized and recorded on the University’s books.
I. ACCURACY, RETENTION, AND DISPOSAL OF DOCUMENTS AND RECORDS

Each employee is responsible for the integrity and accuracy of University documents and records and compliance with regulatory and legal requirements. Furthermore, assurance should be made that records are available to support the University’s business practices and actions. No one may alter or falsify University records or documents.

J. CONFLICTS OF INTEREST

Employment with the University involves a relationship of trust and loyalty. Employees must be free from any influence that might interfere with the proper and efficient discharge of their duties or be inconsistent with their obligations or loyalty to the University. All employees should refer to the University’s Conflict of Interest Policy.

K. OFFICERS, DEANS, DEPARTMENT CHAIRS/HEADS, ADMINISTRATORS

It is the responsibility of all officers, deans, department chairs/heads and administrators to comply with the Code, to ensure that the employees they supervise understand and comply with its terms, and to provide guidance for employees on the meaning and applicability of the Code. In addition, officers, deans, department chairs/heads and administrators are responsible for maintaining regular programs for familiarizing personnel with matters pertinent to the Code in their areas of operation.

Applicability: All Employees and Faculty