

Introduction

To ensure broad communication, certain key University policies are published on an annual basis in a special policy section of the Record. These policies are also available in a number of other places, including the human resources website at <http://hr.wustl.edu>.

All members of the University community are essential to the continued endeavor for excellence in the teaching, research, service and patient-care missions. Establishing and sustaining an open, positive working and learning environment for faculty, staff and students is a shared responsibility. These key policies are intended to promote and support such an environment. Please become familiar with the content of each of these policies and the resources available to you.

Washington University is committed to the maximum use of all human resources and the goal of equal opportunity. Every effort shall be made to ensure that all employment decisions, University programs and personnel actions are administered in conformance with the principles of equal employment opportunity.

I want to take this opportunity to reaffirm the University's commitment to equal opportunity in all aspects of our daily operations, including recruitment, hiring, training and promotion in all jobs without regard to race, color, age religion, gender, sexual orientation, gender identity or expression, national origin, veteran status, disability or genetic information. Should you have questions regarding any of these policies, please feel free to contact Human Resources.

Legail Chandler
Vice Chancellor for Human Resources

sive acts, including spouse and child abuse. Moderate-to-high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and the liver.

Women who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicated that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

Legal Sanctions

Drugs: The manufacture, possession, sale, distribution, and use of controlled substances are prohibited by federal, state and local law; punishments range from fines to life imprisonment.

Section 195.214 of the Missouri statutes makes it a class A felony to distribute or deliver controlled substances on or near University property. Persons convicted of this offense can be sentenced to imprisonment for not less than 10 years.

The Federal Controlled Substances Act prohibits the knowing, intentional, and unauthorized manufacture, distribution, or dispensing of any controlled substance or the possession of any controlled substance with intent to manufacture, distribute, or dispense. A detailed description of the penalties associated with illegal drug trafficking is provided in the chart, Federal Trafficking Penalties, published by the U.S. Department of Justice's Drug Enforcement Administration as found in Appendix B (PDF).

Alcohol: Missouri's Liquor Control Law makes it illegal, among other things, for a person under the age of 21 years to purchase, attempt to purchase, or possess any intoxicating liquor (R.S.Mo. Section 311.325). Violation of this provision can result in a fine between \$50 and \$1000 and/or imprisonment for a maximum term of one year. County and municipality ordinances contain similar prohibitions and sanctions.

Loss of Workers' Compensation Benefits

The Missouri Workers' Compensation Act requires the forfeiture of benefits or compensation otherwise payable to an employee when the use of alcohol or non-prescribed controlled drugs is the proximate cause of the employee's injury. At a minimum, the Act provides for a reduction in benefits or compensation when the employee is injured while using alcohol or non-prescribed controlled drugs.

Testing Requirement for Commercial Drivers Licenses (CDLs)

To meet requirements of the U.S. Department of Transportation (DOT), the University has established a drug and alcohol testing program for its employees who are drivers of its commercial motor vehicles requiring commercial drivers licenses (CDLs), and who perform safety-sensitive functions, e.g., operate a vehicle requiring the display of hazardous material placards. This drug and alcohol testing program also applies to applicants selected for hire for designated safety-sensitive positions. Participation in the drug and alcohol testing program is a condition of employment for these positions.

This program requires pre-employment drug testing as well as DOT mandated random testing of current employees who are required to have CDLs.

Questions regarding this requirement may be directed to the Designated Employee Representative for this program or to Human Resources.

Accidents Involving University-Owned Vehicles

The university reserves the right to require that an employee undergo immediate drug and/or alcohol testing if the employee is involved in a vehicular accident while driving a university-owned vehicle.

Inspections

When the university has reasonable grounds to suspect that an employee unlawfully manufactured, distributed, possessed or used controlled substances, alcohol or drug paraphernalia on university property or at any of its activities, the university reserves the right to inspect the employee's locker, desk, or other university property under the control of the employee.

Updated April 2012

Drug and Alcohol Policy

Introduction and Policy Statement

Washington University is committed to maintaining a safe and healthful environment for members of the University community by promoting a drug-free environment as well as one free of the abuse of alcohol. Violations of this policy will be handled according to existing policies and procedures concerning the conduct of faculty, staff and students.

This policy is adopted in accordance with the Drug-Free Workplace Act and the Drug-Free Schools and Communities Act.

Standards of Conduct

Washington University strictly prohibits the unlawful manufacture, sale, distribution, dispensation, possession or use of controlled substances or alcohol on University property or as a part of any University activity. All faculty, staff and students must comply with this policy as a condition of their employment or enrollment. Faculty and staff members are prohibited from reporting to work under the influence of alcohol, chemicals, or drugs, including legally obtained prescription drugs, which impair one's ability to perform normal work activities. All faculty and staff members must notify their immediate supervisor(s) within five (5) days of any criminal drug statute conviction for a violation occurring in the workplace or in the conduct of University business.

Violations

Violations of the standards of conduct will be dealt with on a case-by-case basis following the policies and procedures applicable to, as appropriate, faculty, staff or students. Sanctions may include, among other things, reprimand, warning, suspension, probation, expulsion or termination. Referral to an appropriate assistance or rehabilitation program also may be appropriate. Referral for prosecution will occur for serious violations.

The Drug-Free Workplace Act requires the University: (1) within 10 days after receiving notice that an employee has been convicted of any criminal drug statute violation occurring in the workplace or in the conduct of University business, to notify appropriate government agencies of such conviction;

and (2) within 30 days after receiving such notice, to take appropriate personnel action against such employee up to and including termination and/or to require the employee to satisfactorily participate in a drug abuse assistance or rehabilitation program.

Drug and Alcohol Counseling, Treatment or Rehabilitation or Re-Entry Programs

Early recognition and treatment of drug or alcohol abuse are important for successful rehabilitation, and for reduced personal, family and social disruption. Washington University encourages the earliest possible diagnosis and treatment for drug and alcohol abuse, however, the decision to seek diagnosis and accept treatment for drug or alcohol abuse is the responsibility of the individual.

The University encourages faculty, staff and students to seek assistance in dealing with a substance abuse problem, or those problems of a family member, by contacting available resources. University resources include Student Health Services (Danforth Campus, 314-935-6666); Student and Employee Health (School of Medicine, 314-362-3523), the Psychological Service Center (314-935-6555), the Department of Psychiatry (314-362-7002), and the Employee Assistance Program (844-365-4587 – toll-free).

Numerous non-University counseling programs exist in the St. Louis metropolitan area. Many programs advertise extensively in local media. Consultation with one's personal physician is advised prior to self-referral to such non-University programs. For further information regarding referral to such programs, contact Student Health Services, the School of Medicine Student and Employee Health, or your private physician.

Health Risks

Drugs: A detailed description of the health risks associated with abuse of controlled substances is provided in the chart, Drug Uses and Effects, published by the U.S. Department of Justice's Drug Enforcement Administration as found in Appendix A (PDF).

Alcohol: Abuse of alcohol can produce severe health risks, including death. Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low-to-moderate doses of alcohol also increase the incidence of a variety of aggres-

Washington University Policies

Discrimination and Harassment

Policy Statement

Washington University is committed to having a positive learning and working environment for its students, faculty and staff. This Policy prohibits discrimination and harassment on the basis of race, color, national origin, age, religion, sex, sexual orientation, gender identity or expression, veteran status, disability or genetic information. Such conduct may also violate federal, state or local law.

What is Discrimination?

Discrimination is generally defined as a materially adverse action affecting the terms and conditions of employment or academic status that is taken because of an individual's race, color, national origin, age, religion, sex, sexual orientation, gender identity or expression, veteran status, disability or genetic information.

What is Harassment?

Harassment is a form of discrimination. It is generally defined as unwelcome conduct, on or off campus, that is based on race, color, national origin, age, religion, sex, sexual orientation, gender identity or expression, veteran status, disability or genetic information, that (1) is subjectively and objectively offensive, (2) is severe or pervasive, and (3) has the purpose or effect of unreasonably interfering with an individual's work or educational performance and creating an abusive, hostile or intimidating environment for work or learning. Whether particular conduct constitutes harassment often depends on the totality of the circumstances.

Sexual harassment is a form of discrimination based on sex. It may include unwelcome sexual advances or other nonconsensual conduct of a sexual nature, when

- (1) submission to or rejection of such conduct is used as a basis or threatened basis for employment decisions or for academic evaluation, grades, or advancement, or
- (2) such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance and creating an abusive, hostile or intimidating work or academic environment. Sexual violence is a form of sexual harassment and includes physical sexual acts perpetrated against a person's will or when, due to a person's use of drugs and/or alcohol, cognitive impairment or other disability, it would be apparent to a reasonable observer that the person is incapable of giving consent.

Harassment can be written, oral, visual or physical. Some conduct obviously constitutes harassment, such as a threat that a grade or promotion will depend on submission to a sexual advance. But whether particular conduct constitutes harassment will often depend upon the specific context of the situation, including the participants' reasonable understanding of the situation, their past dealings with each other, the nature of their professional relationship (e.g., supervisor-subordinate, professor-student, colleague), the frequency and severity of the conduct, and the particular setting.

The inquiry can be particularly complex in the classroom and the broader academic community, where the free and open exchange of ideas and viewpoints reflected in the concept of academic freedom may sometimes prove distasteful, disturbing or offensive to some. Indeed, the examination and challenging of assumptions, beliefs or viewpoints that is intrinsic to education may sometimes be disturbing or unwelcome to the individual. Allegations relating to the content of academic instruction and classroom discussion must be evaluated in the context of the subject matter and pedagogical purpose. This Policy is not intended to compromise the University's traditional commitment to academic freedom or to education that encourages students to challenge their own views of themselves and the world.

Confidentiality

The University will strive to protect, to the greatest extent possible, the confidentiality of persons reporting discrimination and harassment and of those accused of such conduct. However, the University cannot guarantee complete confidentiality where it

would conflict with the University's obligation to investigate meaningfully or take corrective action. Even when some disclosure of the University's information or sources is necessary, it will be limited to the extent possible. The University will, to the extent permitted by law, keep confidential all records of complaints, responses and investigations.

If you believe you might have been subjected to discrimination or harassment and want to discuss the matter in a more confidential setting or clarify your feelings about whether and how you wish to proceed, you may want to consult a social worker, therapist or clergy member who may be permitted by law to assure greater confidentiality. Information about counseling and clergy resources can be found in the University's Safety and Security brochure (available at www.police.wustl.edu). In addition, students may contact the Student Health Services (935-6666 on Danforth Campus; 362-3523 on School of Medicine Campus) and employees may contact the Employee Assistance Program (1-844-365-4587) for confidential assistance and, if desired, referral to other resources. Discussions with Student Health Services and the Employee Assistance Program are confidential and are not considered notice to the University.

Options for Resolution

If you believe that you have been subjected to discrimination or harassment, you have a number of options. You should select the route you feel most appropriate for your circumstances. However you wish to proceed, you may consult at any time with a Discrimination and Harassment Response/Title IX Coordinator (listed in the Appendix), whose responsibilities include assisting students, faculty and staff with questions regarding this Policy and options for addressing concerns about discrimination or harassment. Regardless of how you choose to address your concerns, the University may be required, or may otherwise deem it necessary and protective of the University community, to commence its own investigation and take further action as described below.

If you prefer to address the situation without assistance, you can communicate either orally or in writing with the person whose behavior is of concern. Your communication should clearly identify the conduct that is of concern and indicate that it was unwelcome and offensive and should cease. Such a communication often will cause the unwelcome behavior to stop, particularly where the person may not be aware that the conduct is unwelcome or offensive.

If you would like to discuss other options for addressing the concern, there are a number of resources available to you. As noted above, the Discrimination and Harassment Response/Title IX Coordinators listed in the Appendix can provide information about steps that might remedy the situation and can discuss University policy and procedures for initiating and resolving complaints. There are a variety of options for addressing and resolving concerns that may be appropriate for the particular circumstances. For example, intervention of Human Resources, the Title IX Coordinator, supervisors (where the behavior of a faculty or staff member is at issue), the Judicial Administrator (where the behavior of a student is at issue), or other University officials can often resolve the issue. Likewise, in certain situations a facilitated discussion between the individuals involved can be an effective means of addressing concerns.

Faculty and staff members also have the option of consulting with the appropriate University ombudsperson.

(1) If you would like to report an incident involving a student, you also may contact the University's Bias Report and Support System and meet with a BRSS team member, who can make referrals to appropriate resources and explain what to expect from each resource.

You may also initiate a more formal complaint process, which may involve a committee hearing, by submitting a written complaint to a Discrimination and Harassment Response/Title IX Coordinator. The Coordinator will forward the complaint to the appropriate committee or administrator: for complaints against faculty, to the Discrimination and Harassment Hearing Committee; for complaints against staff, to the Vice Chancellor for Human Resources; for complaints against students, to the Judicial Administrator. Procedures for addressing such complaints are posted online.

Complaints against students that include allegations of sexual violence, as well as some complaints that include allegations of sexual harassment in violation of the Judicial Code, are governed by the procedures found in the University Sexual Assault Investigation Board Policy, or in hard copy from the Title IX Coordinator or the Judicial Administrator.

(2) Discrimination Formal Complaint Process (PDF)

Discrimination and Harassment Hearing Committee Procedure (PDF)

Other University Action

The University reserves the right, independent of other complaint or reporting processes, to review allegations of discrimination and harassment and impose disciplinary or remedial actions where warranted. The University also reserves the right, independent of or in conjunction with other complaint or reporting processes, to take interim or remedial measures appropriate to the situation, in accordance with applicable University policies. Examples of such measures include administrative leave, alteration of reporting structures or job duties, temporary suspension, no-contact orders, temporary housing or course/classroom assignment changes, medical and counseling services, restriction of campus activities, or other academic support services and accommodations.

Disciplinary and Remedial Actions

Potential disciplinary and remedial consequences for violations of this Policy include but are not limited to the following:

- an apology to the victim
- required counseling or training
- oral or written reprimand
- loss of salary or benefit, such as sabbatical or research or travel funding
- fine
- transfer or change of job, class or residential assignment or location
- suspension, probation, demotion, termination, dismissal or expulsion

For student offenders, any of the other sanctions set forth in the University Judicial Code may also be invoked.

Retaliation and Protection of Rights

The University will not tolerate retaliation against persons who report discrimination or harassment or against those who testify, assist or participate in any investigation, proceeding or hearing involving a complaint of discrimination or harassment. In this context, retaliation means behavior engaged in because of a person's participation in the reporting or investigation of an allegation of discrimination or harassment that adversely affects that person's terms or conditions of employment or education. Any such retaliation – or any encouragement of another to retaliate – is a violation of this Policy, regardless of whether the particular claim of discrimination or harassment is substantiated. If you believe you have been subjected to such retaliation, you may use the procedures described above to seek redress.

The University seeks to protect the rights of all persons, accusers and accused, to fair procedures. Accusations of discrimination or harassment may have injurious far-reaching effects on the careers and lives of accused individuals. Allegations of discrimination or harassment must be made in good faith and not out of malice. Knowingly making a false or frivolous allegation of discrimination or harassment, whether in a formal or informal context, will be treated as a serious offense under this policy. If you have a reasonable basis to believe that a complaint of discrimination or harassment against you was not made in good faith, you may use the procedures of this policy to seek redress.

Obligations of Vigilance and Reporting

The University can respond to specific instances and allegations of discrimination and harassment only if it is aware of them. The University therefore encourages anyone who believes that he or she has experienced discrimination or harassment to promptly come forward with inquiries, reports or complaints and to seek assistance from the University. In addition, any University employee who becomes aware of instances or allegations of discrimination or harassment by or against a person under his or her supervisory authority, and any faculty member who becomes aware of instances or allegations of discrimination or harassment against a student, must report it to those charged with responding to such reports, such as a Coordinator, department head, director, or other similar administrator. It shall be the responsibility of these individuals to respond to reports of discrimination and harassment or refer them to other University officials for such response.

Washington University Policies

Any department head, director, or other similar administrator who becomes aware of information indicating a significant likelihood of discrimination or harassment must report such information to the Coordinator. These administrators must respond not only when they receive a specific complaint or report alleging improper activity, but also when such matters come to their attention informally. Unconfirmed or disputed allegations should be clearly labeled as such and reports should indicate any steps already taken to investigate or otherwise respond. Administrators may wish to consult with a Coordinator prior to investigating or otherwise responding to any situation involving alleged discrimination or harassment.

Education

Education is the best way to prevent discrimination and harassment. Please contact the Coordinator to find out more about available training programs and for information and guidance on how to handle issues involving discrimination and harassment.

Other Policies and Procedures

This Policy and its associated procedures supersede any existing University, school, departmental or other policies and procedures concerning prohibited discrimination and harassment.

A Statement Regarding Title IX

Title IX of the Education Amendments of 1972 prohibits discrimination based on sex (including sexual harassment and sexual violence) in the University's educational programs and activities. Title IX also prohibits retaliation for asserting claims of sex discrimination. The University has designated the Title IX Coordinator identified in the Appendix to coordinate its compliance with and response to inquiries concerning Title IX. You may also submit a complaint or inquiry regarding Title IX by contacting the United States Department of Education's Office of Civil Rights at 400 Maryland Avenue S.W., Washington, DC 20202-1100 or by visiting www2.ed.gov or calling 1-800-421-3481.

(1) Communications with ombudspersons are confidential unless there is an imminent risk of serious physical harm or disclosure is compelled by a court. Communicating a concern to an ombudsperson does not constitute notice to Washington University.

(2) If the complaint alleges a sexual assault or other crime, the complainant may also file a criminal report with the Washington University Police Department or other appropriate law enforcement agency and may simultaneously pursue criminal and University disciplinary processes. The University will ordinarily not delay its investigation if criminal charges are filed. At the request of law enforcement authorities, however, the University may postpone the University investigation and proceeding while the authorities gather evidence.

Appendix: Discrimination and Discriminatory Harassment Coordinators and Advisors

(as of March 2017)

Danforth and School of Medicine Campuses

Coordinator Name	Complaints Handled	Contact Number
Apryle Cotton	Faculty, staff and others	314-362-6774

Title IX Coordinator on both campuses

Coordinator Name	Complaints Handled	Contact Number
Jessica Kennedy	Faculty, staff and students	314-935-3118

Washington University Code of Conduct

Statement of General Principles

This code applies to the following members of the Washington University community: (a) individuals who are paid by Washington University when they are working for the University—this category includes faculty and staff; (b) consultants, vendors, and contractors when they are doing business with the University; and (c) individuals who perform services for the University as volunteers. The Code of Conduct refers to all these persons collectively as “members of the University community” or “community members.”

Integrity and Ethical Conduct

Washington University is committed to the highest ethical and professional standards of conduct as an integral part of its mission, the promotion of learning. To achieve this goal, the University relies on each community member's ethical behavior, honesty, integrity, and good judgment. Each community member should demonstrate respect for the rights of others. Each community member is accountable for their actions.

This Code of Conduct describes standards to guide us in our daily University activities, standards we believe are already being followed.

Compliance with Laws and University Policies

The University and each community member must transact University business in compliance with all laws, regulations, and University policies related to their positions and areas of responsibility. Managers and supervisors are responsible for teaching and monitoring compliance in their areas.

Procedures for Reporting Violations or Concerns

The University's compliance effort focuses mainly on teaching members of the University community the appropriate compliance standards for the areas in which they work. Nevertheless, violations may occur. In addition, members of the University community may have concerns about matters that they are not sure represent violations. This section describes community members' responsibilities for reporting violations or concerns, and how these responsibilities may be carried out.

Each community member is expected to report violations or concerns about violations of this Code of Conduct that come to their attention. Managers have a special duty to adhere to the standards set forth in this Code of Conduct, to recognize violations, and to enforce the standards.

Disciplinary actions for proven violations of this Code, or for retaliation against anyone who reports possible violations, will be determined on a case-by-case basis and may include termination of employment. Individuals who violate the Code may also be subject to civil and criminal charges in some circumstances.

How to Report a Violation or Discuss a Concern

You may report violations or concerns to your immediate supervisor or department head, if appropriate. You may also call the University Compliance Hotline at the number established for this purpose: (314) 362-4998. Reports may be made anonymously to this number, if the caller so desires. The University Compliance Office telephone line has no caller identification or number recognition.

You may also access an online form on the Code of Conduct website (<http://codeofconduct.wustl.edu/>) that can be used to report violations or concerns which can also be reported anonymously.

For matters dealing with one of the specific areas below, you may call the number indicated, or you may call the University Compliance Office 362-4915.

Animal Care Issues

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

Computer Use & Security Policies

John Gohsman, Vice Chancellor and Chief Information Officer
(314) 935-7391

Kevin Hardcastle, Chief Information Security Officer
(314) 935-7986

Conflict of Interest Issues – Research

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

Conflict of Interest Issues – Clinical and Physician Relationships with Drug and Medical Equipment or Device Companies

George Macones, M.D. Chair, FPP Board of Directors
(314) 362-7139

Conflict of Interest – Procurement Issues

Alan Kuebler, Asst. Vice Chancellor for Resource Mgt.
(314) 935-5727

Environmental Health and Safety Issues

Bruce Backus, Asst. Vice Chancellor for Environmental Health & Safety
(314) 362-6816

Export Control

Laura Langton, Export Control Manager
(314) 747-1378

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

Financial Issues

Amy Kweskin, Vice Chancellor for Finance & CFO
(314) 935-9018

HIPAA (Health Insurance Portability Act)

Privacy Issues
Christine Schorb-HIPAA Privacy Officer
(314) 747-2933

Security Issues

Kevin Hardcastle, Chief Information Security Officer
(314) 935-7986

Human Studies Issues

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

Human Resources/Personnel Issues:

All Campuses
Legail Chandler, Vice Chancellor for Human Resources
(314) 935-7746

Apryle Cotton, Assistant Vice Chancellor for HR
(314) 362-6774

International Activities/Foreign Corrupt Practices Act

Michael Dunlap, Associate Vice Chancellor for Finance and Controller
(314) 935-9853

Minors at WU or participating in WU programs/Reporting suspected child abuse, neglect or inappropriate interactions with minors

Mark Glenn, Chief of Campus Police
(314) 935-8088

John Ursch, Executive Director of Protective Services at WUSM
(314) 362-4357

Legail Chandler, Vice Chancellor for Human Resources
(314) 935-7746

Physician and Medical Professional Billing Issues

Jane Ditch, Director of Physician Billing Compliance
(314) 747-7660

Research Financial Management Issues

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

Research Integrity Issues

Jennifer Lodge, Vice Chancellor for Research
(314) 747-0515

