

## Section III. General University Policies

The following is an alphabetical list of General University Policies that have been adopted from various internal (University of Illinois *Statutes*, *General Rules*, Policy Council, University Senates Conference, etc.) and external sources (state law, federal law, etc.) of governance.

### A. Access to Personnel Records

On January 15, 1984, the Illinois Personnel Record Review Act (820 ILCS et seq.) took effect. It grants employees the right to review and, when appropriate, to append their personnel records. For the Chicago campus, the Act applies to personnel records in the Office of Faculty Affairs Human Resources (FAHR) and in the Campus Human Resources Office and also to personnel materials maintained by employing units. Right of access is granted to all current employees, all those on leave or layoff, and all those who have terminated service within the preceding year. Any personnel documents may be inspected that are, have been, or are intended to be used in determining an employee's qualifications for employment, promotion, transfer, additional compensation, discharge, or other disciplinary action. In 1988 this act was amended stating that internal review documents must now be disclosed with the exceptions listed below.

Employees do *not* have the right to inspect the following documents: letters of reference, both internal and external; external peer review documents; test documents (although the employee may see test scores); information in their files constituting an invasion of other persons' privacy; records pertaining to a criminal investigation of an employee or employees (unless or until adverse personnel action is taken based on those records); records related to a pending claim between the employer and employee that may be obtained through that judicial proceeding; and materials used for management planning. "Management planning" materials include those used in matters relating to the comments or ratings necessary for university, campus, or departmental planning, in which the materials relate to or affect more than one employee.

An employee who disagrees with any information in the personnel record may negotiate to have that information removed or corrected. If agreement is not reached, the employee may submit a written statement to the appropriate HR office explaining why he or she believes the record is wrong. That statement must be appended to the disputed materials in the personnel record and circulated with that material whenever it is released to a third party (i.e., outside the university).

### B. [Affirmative Action Statement](#)

The University of Illinois at Chicago strives for diversity reflective of a great urban university. This diversity should not only be evident in our student body but should also extend to our faculty and all levels of administration and staff. We advance this goal through adherence to the principles of equal employment and nondiscrimination in all aspects of employment, including recruitment, hiring, promotion, and development of our employees. Our hiring and employment policies have been devised to promote our affirmative commitment to diversity.

UIC's commitment to diversity is critical to our mission of advancing access to excellence in academic programs, world-class research, and health care. Diversity in our faculty and at all levels of our workforce will assist UIC in facing the challenges of the city, state, and region and fostering active engagement with the cultural, social, and economic riches of our urban environment.

### **C. The Americans with Disabilities Act (ADA) Statement**

Guided by the belief that people with disabilities are assets to the university, UIC is committed to full inclusion and participation of people with disabilities in all aspects of university life. We seek to provide an academic, social, and physical environment that makes disabled people integral to the diversity of perspectives that is vital to an academic community.

UIC supports the principles of universally accessible design, alternative communication formats, and the expression of disability community and pride. At all levels of the university, UIC promotes equal opportunity, fair treatment, and the elimination of barriers for qualified individuals with disabilities.

### **D. Annual Statement of Economic Interest Process**

The **Illinois Governmental Ethics Act** requires University of Illinois employees who meet certain criteria to file a **Statement of Economic Interests** with the Office of the Secretary of State by May 1st of each year. Statements must be returned to the University Ethics Office five working days prior to the May 1st deadline. The Ethics Officer will then review and forward all University Statements received to the Office of the Secretary of State by the stated deadline.

Strict penalties, including fines and forfeiture of the position of employment, may be imposed on employees who are required to comply with this Act and file late or fail to file a Statement of Economic Interests.

### **E. Disclosure of Wrongful Conduct and Protection from Reprisal (Whistleblower Protection)**

This policy is intended to protect any employee who engages in good faith disclosure of alleged wrongful conduct to a designated university official or public body. More specifically it:

- encourages employees to disclose serious breaches of conduct covered by University policies or law,
- informs employees how allegations of wrongful conduct can be disclosed,
- protects employees from reprisal by adverse employment action as a result of having disclosed wrongful conduct (employees who self report misconduct are not afforded protection by this policy), and
- provides individuals who believe they have been subject to reprisal with a fair process to seek relief from retaliatory acts.

Nothing in this policy is intended to interfere with legitimate employment decisions.

### **F. Employment Accommodation Policy**

Consistent with the obligations of the University of Illinois at Chicago (UIC) under applicable state and federal laws, UIC is responsible for providing reasonable accommodations to qualified applicants, candidates, and employees with covered (under ADA) disabilities. UIC will give notice to all applicants, candidates, and employees of their responsibilities and the procedures to be followed in processing accommodation requests. Individuals with disabilities are responsible for requesting accommodations. Departments are responsible for following the established procedures to evaluate and process accommodation requests. In this policy, UIC broadens the scope of considering accommodation requests to include requests based on medical conditions that may not meet the definitions of “disability” or “handicap” under the laws mentioned in this paragraph. Requests based on medical conditions not qualifying as disabilities or handicaps

under the laws may be granted or denied at the discretion of UIC. By considering a request or granting a requested accommodation under this policy, UIC is not considering or regarding the employee as having a disability as defined by the Americans with Disabilities Act, or a handicap as defined by the [Illinois Human Rights Act](#).

#### **G. Nepotism/Employment of Relatives**

No individual shall initiate or participate in institutional decisions involving a direct benefit (initial employment, retention, promotion, salary, leave of absence, etc.) to a member of the individual's immediate family. "Immediate family" includes an individual's spouse, ancestors and descendants, all descendants of the individual's grandparents, and the spouse of any of the foregoing. Procedures to insure against such conflict of interest, both at the time of initial employment and during continued employment, have been established on the UIC campus. (See University of Illinois [Statutes](#))

#### **H. University of Illinois Nondiscrimination Statement**

The commitment of the University of Illinois to the most fundamental principles of academic freedom, equality of opportunity, and human dignity requires that decisions involving students and employees be based on individual merit and be free from invidious discrimination in all its forms.

The University of Illinois will not engage in discrimination or harassment against any person because of race, color, sex, religion, national origin, ancestry, age, marital status, disability, sexual orientation including gender identity, unfavorable discharge from the military or status as a protected veteran and will comply with all federal and state nondiscrimination, equal opportunity and affirmative action laws, orders and regulations. This nondiscrimination policy applies to admissions, employment, access to and treatment in University programs and activities. University complaint and grievance procedures provide employees and students with the means for the resolution of complaints that allege a violation of this Statement. Members of the public should direct their inquiries or complaints to the appropriate equal opportunity office. *Policy Council, Revised May 31, 2005.*

#### **I. Program Evaluation Guidebook**

The Office of Programs and Academic Assessment (OPAA) at the UIC coordinates a university system for the review of academic units. The Program Review Manual 2007-2015 provides guidelines and describes self study reporting requirements for university review of academic units. This Manual is primarily based on the UIC Program Evaluation Guidebook developed and implemented by the Office of Programs and Academic Assessment for use in past review of academic units. During 2003, UIC launched a process of strategic thinking and planning across the campus, which resulted in the development of the UIC Strategic Plan "Access to Excellence" in June 2006. This Manual reflects the elements of the newly released UIC Strategic Plan.

#### **J. Conflicts of Commitment and Interest – Report of Non-University Activities (RNAU)**

This Policy implements an Illinois law requiring University faculty members to obtain prior written approval before engaging in remunerated private consulting or research for external persons or organizations. It also implements various policies set forth in the *University Statutes* and *The General Rules Concerning University Organization and Procedure*. Finally, the Policy accommodates federal regulations designed to protect the integrity of federally funded research.

## **K. University Sexual Harassment Policy and Campus Procedures**

The University of Illinois will not tolerate sexual harassment of students or employees and will take action to provide remedies when such harassment is discovered. The University environment must be free of sexual harassment in work and study. In order to assure that the University is free of sexual harassment; appropriate sanctions will be imposed on offenders in a case-by-case manner.

- The University will respond to every complaint of sexual harassment reported.
- The University has provided this Statement to all units of the institution.
- Sexual harassment is prohibited by federal and state nondiscrimination law.
- Implementing procedures developed by the campuses will include specific explanations and sexual harassment definitions that reflect current law.

*Policy Council, March 31, 1998*

## **L. State Officials and Employee Ethics Act**

Enacted in 2003 by the General Assembly of the State of Illinois, the State Officials and Employees Ethics Act requires each officer and employee of all state agencies and universities to complete an ethics training program annually beginning in 2004. The Illinois Inspector General develops the timeline for the annual ethics training program and all University of Illinois employees must do the ethics training during that time. The University of Illinois has developed an interactive program that will allow employees to meet their annual ethics training obligation. The program is intended to familiarize employees with some of the laws, rules and policies that govern their conduct as a state employee. It is important that all employees complete their training in the first two weeks of each notice period to reduce the need for reminders and individual follow up. Employees will be allowed time to complete their training during regularly scheduled work hours and if the necessary equipment is not individually available, employees will be sent to computer labs. The annual ethics training program is meant to serve as a reminder to all employees of their responsibility to always conduct state activities with honesty, integrity, and fairness. Training is not an option; it is the law. Penalties for violations of ethics-related laws, rules, and policies by state employees, including failure to complete the annual ethics training requirement, are dependent upon the specific circumstances. Penalties may include fines up to \$5,000 and disciplinary action up to and including discharge of an employee by the University.

For ethics related questions and concerns, please contact the University Ethics Office on the Toll-free Ethics Help Line at: 866-758-2146 or via e-mail at: [ethicsofficer@uillinois.edu](mailto:ethicsofficer@uillinois.edu).

## **M. Statement of a Drug-Free Workplace**

The University of Illinois is committed to maintaining a drug-free workplace in compliance with applicable state and federal laws. The unlawful possession, use, distribution, dispensation, sale or manufacture of controlled substances is prohibited on University premises. Violation of this policy may result in the imposition of employment discipline as defined for specific employee categories by existing University policies, statutes, rules, regulations, employment contracts and labor agreements. Any employee convicted of a drug offense involving the workplace shall be subject to employee discipline or required to satisfactorily complete a drug rehabilitation program as a condition of continued employment.

The illegal use of controlled substances can seriously injure the health of employees, adversely impair the performance of their responsibilities and endanger the safety and well-being of fellow employees, students and members of the general public. Therefore, the University encourages employees who have a problem with the illegal use of controlled substances to seek professional advice and treatment. A list of sources for drug counseling, rehabilitation and assistance programs may be obtained from Faculty Affairs Human Resources, the campus health service, or Employee Assistance Services ([EAS](#)). Employees may obtain this information anonymously either through self-referral or by direction of their supervisor. Employees who are engaged in work under a federal contract may be required to submit to tests for illegal use of controlled substances as provided by the law or regulations of the contracting agency.

As a condition of employment, the employee will abide by this statement and notify his/her supervisor if he or she is convicted of a criminal drug offense occurring in the workplace within five days of the conviction. The University will notify the granting or contracting federal agency within 10 days of receiving notice of a conviction of any employee working on a federal contract or grant, when said conviction involves a drug offense occurring in the workplace. A copy of the Statement of a Drug-Free Workplace must be given to all employees for completion, who are assigned to a federal contract or grant.

#### **N. University Code of Conduct**

This Code of Conduct establishes guidelines for professional conduct by those acting on behalf of the University including executive officers, faculty, staff, and other individuals employed by the University using University resources or facilities, and volunteers and representatives acting as agents of the University. This is not an attempt to define specifically what one should and should not do, but to communicate the University's expectations of proper conduct and what professional conduct the University values.

Those acting on behalf of the University have a general duty to conduct themselves in a manner that will maintain and strengthen the public's trust and confidence in the integrity of the University and take no actions incompatible with their obligations to the University.

With regard to professional conduct, those acting on behalf of the University should practice:

- Integrity by maintaining an ongoing dedication to honesty and responsibility;
- Trustworthiness by acting in a reliable and dependable manner;
- Evenhandedness by treating others with impartiality;
- Respect by treating others with civility and decency;
- Stewardship by exercising custodial responsibility for University property and resources;
- Compliance by following State and Federal laws and regulations and University policies related to their duties and responsibilities;
- Confidentiality by protecting the integrity and security of university information such as student records, employee files, patient records, and contract negotiation documents.

Additionally, the State Officials and Employee Ethics Act requires all state employees, including University employees, to participate in annual ethics training on a calendar year basis (see Item L above). *Approved January 22, 2002 by the University Senates Conference.*

#### **O. University of Illinois Social Security Policy**

A Social Security number (SSN) has several purposes, all involving identifying an individual: it is an individual's Tax Identification Number (TIN) for income tax purposes, and therefore it is used in employment and banking records, on student academic records and loan applications, and

for credit accounts and credit records, as well as for its original intent, to identify the individual's Social Security records. These records define the individual's financial life; it is vital to keep Social Security numbers private to prevent identity theft.

In 1999 the University of Illinois developed and adopted a formal policy on the collection, maintenance, and release of Social Security numbers. The primary purpose of this Social Security number policy was to ensure that the necessary procedures and awareness existed to ensure that University employees and students complied with both the letter and the spirit of the Family Educational Rights and Privacy Act (FERPA) of 1974. A major initiative of the policy was the development of a University wide Unique Identification Number (UIN) which was assigned to all employees, students, and other associated individuals, such as contractors or consultants. The UIN is assigned at the earliest possible point of contact between the individual and the University and is used in all future electronic and paper data systems to identify, track, and service individuals associated with the University. The UIN is permanently and uniquely associated with the individual to whom it is originally assigned. Except where the University is legally required to collect a Social Security number, individuals will not be required to provide their Social Security number, orally or in writing, at any *point of service*, nor will they be denied access to those services should they refuse to provide a Social Security number. However, individuals may volunteer their Social Security number if they wish as an alternate means of locating a record.

- SSN Related to Employment: All University employment forms and documents that collect Social Security numbers will state the following: "The University of Illinois is required by federal law to report income along with Social Security numbers (SSNs) for all employees to whom compensation is paid. Employee SSNs are maintained and used by the University for payroll, reporting and benefits purposes and are reported to federal and state agencies in formats required by law or for benefits purposes. The University will not disclose an employee's SSN without the consent of the employee to anyone outside the University except as mandated by law or required for benefit purposes."
- SSN Related to Student Records: FERPA permits faculty to have access to a student's Social Security number as part of the student's academic record. The following guidelines highlight specific aspects of the University policy and FERPA and are intended to assist faculty members in applying and interpreting these policies:
  - Social Security numbers, *or any portion thereof*, should never be posted.
  - Grade or class rosters with Social Security numbers should be disposed of in a secure manner, e.g., shredder or confidential recycling bin.
  - Social Security numbers should not be made available to individuals or organizations outside of the University.
  - Social Security numbers should only be exchanged between individuals within the University when absolutely necessary and no alternatives exist.
  - Teaching assistants should be informed of the confidential nature of Social Security numbers.
  - Social Security numbers should not be used as part of an electronic authentication system (i.e., used as either a login or password).