<https://slideplayer.com/slide/9347734/>

<http://www.jhsmiami.org/orientation/OrientationMaterial/CorporateCompliance.pdf>

Template

Conduct – the way a person behaves in various situations

Code of Conduct – a guide or set of rules for employees to know how to conduct themselves in various situations. This guide states what the company has deem as acceptable or prohibitive behaviors.

Purpose of a Code of Conduct – to ensure that all employees are aware of what is the behavioral expectation by the company. No one can say, “I didn’t know.” or “No one ever told me.” It provides organizational clarity in moments of crisis or ethical dilemma. It tells employees how they *should* act at work.

Benefits of a Code of Conduct:

* Creates clear expectations between the company and the employee
* Moulds a culture desired by the owner(s) and the board of directors
* Creates a culture where employees are encouraged to report problems.
* A strong and well-established ethical culture attracts higher quality candidates for hiring
* Attracts more customers leading to increased revenue

5 major things the company can get in trouble for that a code of conduct prevents:

1. Failing to follow our corporate policies, procedures, and complying with the laws and regulations of the government and governing organizations.
2. Bad behavior
3. Discrimination & Harassment
4. Failing to disclose actual or potential conflicts of interest
5. Lack of legal compliance

Accountability – the Code of Conduct holds you accountable for your behavior, actions, and words in the workplace.

Code of Ethics – an agreed upon view of behavior in the workplace. Establish by owner(s) and board of directors.

Ethics and conducts based on philosophy and core values

Morals vs Ethics

Code of Conduct vs Code of Ethics

Violating code of conduct – must be determined if the violation was intentional, neglectful, or due to either a lack of training or lack of resources.

Code of Conduct to a guide to help employees know how the company expects you to behave. However, if it is a replacement for socially accepted moral and ethical behavior both in and out of the workplace.

You as an employee are a representative of the company, regardless if you are on the lock. If you commit a crime, or make racial or prejudicial statements on social media that affect the image or reputation of the company, there will be consequences.

There is an approved disciplinary process and assessment of the violation.

Consequences of the violation depends on:

* Type of violation
* Severity of violation
* Previous employee disciplines
* Deliberateness of violation
* Mitigating circumstances

Progressive Discipline – a system of disciplinary actions that allow for increasingly severe penalties and actions to address repeated violations. However, should a violation of the Code of Conduct be severe enough in and of itself, the company can escalate the discipline regardless of lower level disciplinary actions that are bypassed. This can include immediate termination for a violation of sufficient severity.

General Progressive Discipline includes:

* Verbal Warning
* Written Warning
* Suspension without pay
* Termination

Progressive Discipline is designed to provide training reinforcement, counseling, and documented awareness to the employee so he/she can be provided with the needed resources to correct the behavior or cause of the violation as to not repeat it again in the future.

If there is a situation you feel you do not know how to appropriately handle, you should contact your manager. If that person does not know what to do, he/she should contact the department supervisor. If the supervisor does not know what to do, he/she should contact human resources or other appropriate administrator for advice on how best to proceed.

Code of Conduct addresses numerous issues. Some include:

* Office romances
* Dress code
* Attendance
* Customer relations
* Accountability
* Social Media
* Press engagement
* Conflict of interests
* Proprietary information and confidentiality
* Drugs and alcohol use
* Smoking on the job
* Gifts and gratuities
* Compliance
* Intellectual property usage
* Conflicts of interest
* Asset protection
* Company policies
* Company culture
* Attendance expectations
* Sexual and general harassment
* Discrimination
* Violence in the workplace
* Cell phone and technology
* Substance use
* Dress code
* Breaks
* Disciplinary actions
* Privacy policy
* Equal opportunity
* Grievances and complaints
* Anti-bribery
* Gifts and gratuities
* Media inquiries and handling the press
* Financial integrity and compliance
* Data privacy
* Use of social media, emails
* Client and business partner code of conduct
* Interoffice gossiping
* Industry compliance and regulation
* Off duty expectation
* Bribery

*[Make slides for Code of Conduct policies to insert]*

The Code of Conduct can be found in the Employee Handbook.

The Code of Conduct can also be accessed online through the employee portal.

Reporting Violations of Code of Conduct – persons that bear witness to a code of conduct violation that do not report it can be held accountable for not notifying the appropriate manager or administrator. Depending on the violation, the employee can be held as an accomplice after the fact.

Whistleblower protection - The Office of Special Counsel investigates federal whistleblower complaints. OSHA’s Whistleblower Protection Program enforces the whistleblower provisions of more than 20 whistleblower statutes.

Retaliation occurs when an employer, either personally or through a manager, supervisor, or administrator, fires an employee or takes any other type of disciplinary or adverse action against an employee for reporting or engaging in protected activity.

An employer cannot take an adverse action against employees, such as: firing or laying off, demoting, denying overtime or promotion, or reducing pay or hours, for engaging in activities protected by whistleblower laws.

Required Employee Actions Under the Code of Conduct:

* Abide by the code of conduct and code of ethics
* Be aware of and adhere to Federal state and local laws, as well as relevant governing organization regulations that affect the company and your position.
* Seek guidance when unsure or have questions
* Do not submit fraudulent, inaccurate, or false information use on forms or other documentation or submission.
* Report activities that may violate applicable laws and regulations
* Make no false or misleading reports or alter reports to elicit a certain outcome.
* Undergo trainings and education are required.
* Cooperate with any investigations, inspections, or audits.
* Do not lie, mislead, or omit information to inspectors, auditors, or other officials.
* Always do the right thing.

It takes numerous good deeds to build a good reputation, but only one to end it

Compliance is everyone’s responsibility.

For questions on conduct or ethics issues please contact:

Human Resources Administrator

Compliance Officer

Ethics Officer

Ethics Office/Department

Anonymous Company Hotline –

OSC Whistleblower Disclosure Hotline - 800-572-2249

OSHA Complaint Number - **800-321-6742 (OSHA)**

<https://www.osha.gov/whistleblower/WBComplaint.html>