

**The University of Wisconsin System
UPS OPERATIONAL POLICY: WE 1**



SUBJECT: Code of Ethics

Original Issuance Date: July 1, 2015

Last Revision Date:

1. POLICY PURPOSE:

The purpose of this policy is to provide guidance on the avoidance of activities that cause, or tend to cause, conflicts between employees' personal interests and their public responsibilities.

2. POLICY BACKGROUND:

UW System employees are subject to ethics rules covering use of university resources, conflicts of interest, and acceptance of gifts. Pursuant to [Wis. Stat. § 19.45\(11\)\(b\)](#), the Board of Regents developed Regent Policy Document [RPD 20-22, Code of Ethics](#).

[RPD 20-22, Code of Ethics](#), which was effective July 1, 2015, explains that UW System employees are subject to the following three separate codes:

- I. Faculty, academic staff, and limited appointees (other than state public officials) remain subject to [Wisconsin Administrative Code, Chapter UWS 8](#).
- II. State public officials remain subject to [subchapter III of Wis. Stats. Chapter 19](#). Individuals holding the following positions are state public officials: Member – Board of Regents, President, Chancellor, Vice Chancellor, and all Vice President titles.
- III. Effective July 1, 2015, university staff are subject to a code that is set forth in Section III of [RPD 20-22](#). The University Staff Code of Ethics was closely modeled after Wisconsin Administrative Code, [Chapter ER-MRS 24](#), the Code of Ethics for classified state employees.

3. POLICY DEFINITIONS:

Please see UPS Operational Policy [GEN 0: General Terms and Definitions](#) for a list of general terms and definitions.

4. POLICY:

It is the policy of the University of Wisconsin System that chancellors or their designees provide each newly hired employee with the code of ethics to which the employee is subject. Thereafter, chancellors should annually provide all employees with the appropriate code of ethics.

Employees should review, abide by, and ask for clarifications when necessary regarding their respective code of ethics. If an employee is uncertain whether a future action may violate a code of ethics, the employee should consult with the chancellor or the chancellor's designee.

The employees subject to Wisconsin Administrative Code [Chapter UWS 8](#) must keep track of and report outside activities pursuant to [Regent Policy Document 20-7, Outside Activity Reporting](#), and Wis. Admin Code [UWS 8.025](#). The Board of Regents require all UW System faculty, academic staff, and limited appointees with half-time or greater appointments to report annually (by April 30 of each year) on outside activities and interests related to their areas of professional responsibility and for which they receive remuneration.

Outside Activities should be reported as specified in the "Guidelines for Reporting Outside Activities" (Attachment 1). All reports are to be filed in a central place at each UW System institution and should be open to public inspection.

5. RELATED DOCUMENTS:

[Regent Policy Document RPD 20-22, Code of Ethics](#)
[Regent Policy Document 13-4, University of Wisconsin System Policy on Institutional and Employee Relationships with Educational Loan Lenders](#)
[Regent Policy Document 20-7, Outside Activity Reporting](#)
[General Counsel Legal Topics - Ethics](#)
Wis. Admin. Code Chapter [UWS 8, Unclassified Staff Code of Ethics](#)
Wis. Stat. § [19.45, Standards of conduct, state public officials](#)

6. POLICY HISTORY:

Wis. Admin. Code Chapter [ER-MRS 24, Code of Ethics](#)

University of Wisconsin System

Reporting Outside Activities – Guidelines for Faculty, Academic Staff, and Limited Appointees
Under [Wis. Admin. Code § UWS 8.025](#)
(Guidelines approved by Board of Regents May 10, 1991 – [Regent Policy Document 20-7](#))

Who must report and what must be reported?

It is the policy of the University of Wisconsin System to require a report from all faculty, academic staff and limited appointees who engage in remunerative outside activities in their field of professional interest whose appointments are half-time or more for the period under contract to the UW System. If you have a joint appointment, you must file a report for each department/unit. Your report covers activities that occur during the full year, even if you were not under contract to the University for part of that time. You should discuss with your dean or director any activities that may present carryover questions of conflict with your responsibilities during your contract period.

For purposes of the Outside Activities Report form:

A remunerative relationship is any relationship that results in payments, transfer of goods or provision of services to the reporting staff member.

Net remuneration includes the value of all payments, goods and services received as compensation for an activity less expenses. Expenses deducted should not exceed those that could ordinarily be claimed from university administered funds.

An organization is any corporation, partnership, proprietorship, firm, enterprise, franchise, association, trust or the legal entity other than an individual or body politic (see [Wis. Admin. Code § UWS 8.02\(12\)](#)).

Professionally related activities are activities related to the staff members' field of academic interest or specialization.

Ordinary professional activities are those activities which extend an unclassified staff member's normal institutional responsibilities of teaching, research and service to serving other public institutions, organizations, and professional societies. Examples of such ordinary professional activities would be:

- Occasional lectures, colloquia, seminars, etc., given at colleges and universities and at meetings of professional societies.
- Preparation of monographs, chapters and editorial services for nonprofit educational organizations.
- Service on advisory committees and evaluation panels for government funding agencies, nonprofit foundations and educational organizations.
- Leadership positions in professional societies.

Please note: The annual economic interests reporting requirement administered by the Office of the Board of Regents is separate from and in addition to the outside activities reporting requirement. Pursuant to [Wis. Admin. Code § UWS 8.06](#), the president, vice presidents, chancellors, and all contracting personnel must file a statement of economic interests with the Office of the Board of Regents annually, by April 30.

Those activities which are reportable under [UWS 8.025](#) include:

1. Professionally related outside activities occurring during the time you are under contract to the university for which you received net remuneration, not including ordinary professional activities.
2. The names of organizations or businesses for which net remunerative outside activities were performed, the type of activity (consulting, teaching, research, writing, etc.) and the aggregate time spent (days) in that activity. Royalties from writing and patents need be reported only in the year that they first appear.
3. You must name the organization or source and indicate the aggregate amount of time in days spent in outside activities with that organization. If you received \$5,000.00 or more compensation per year from a single source, you must check the last column of section A. If you believe you should not publicly identify the name of the organization, you must receive approval from your dean to withhold the name (e.g., if revealing the name would be damaging to the organization's legitimate competitive interests).

4. Any remunerative relationships that you had with organizations which sponsor university research, teaching or training in which you are involved. If these relationships exist, you must report the name of the organization.
5. Officerships, directorships, trusteeships that you or members of your immediate family hold in businesses or commercial organizations related to your professional field.
6. Ownership interests in organizations related to your academic area of specialization, provided that your immediate family collectively owns more than 10% of the equity.

Those activities which need not be reported include:

1. Activities for which remuneration comes from university administered funds (e.g., teaching and innovation awards, etc).
2. Remunerative ordinary professional activities (see definitions above).
3. Instruction at another nonprofit educational institution or research supported by a government agency if the instruction or research is performed during periods when the staff member is not on the university payroll, or, in the case of part-time appointment, if the work is performed during time not contracted to the university.

Institutional Ethics Committee:

[Wis. Admin. Code § UWS 8.035](#) requires that each institution shall have an institutional ethics committee, “whose function shall be to provide to any member of the unclassified staff consultation and advice on the application” of [Chapter UWS 8](#) Unclassified Staff Code of Ethics. The institutional ethics committee can either be established or designated as part of an existing committee.