

## Chapter UWS 8

### FACULTY/ACADEMIC STAFF CODE OF ETHICS

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**UWS 8.01 Declaration of policy.** (1) In view of the special relationship of the university of Wisconsin system to the state and to affirm as public policy within the system certain common standards to prevent conflicts of interest, the board hereby adopts the following code of ethics for faculty and academic staff pursuant to section 19.45 (11) (b), Wis. Stats.

(a) Every member of the faculty and academic staff at the time of appointment makes a personal commitment to professional honesty and integrity that meets the demanding standards of the state and national academic communities. It is a violation of those standards for faculty or academic staff to disregard the interests of the university of Wisconsin system in order, through use of their positions or through official conduct, to seek financial gain for themselves, their immediate families or businesses with which they are associated.

1. This code of ethics is designed to aid faculty and academic staff in avoiding conflicts of interest in the performance of their duties and to insure continued confidence of the people of this state in the university of Wisconsin system and its personnel.

2. Nothing in this code of ethics shall deny the rights of a member of the faculty or academic staff under the state and federal constitutions and the Wisconsin Statutes or any other laws of this state.

(b) The board of regents recognizes that:

1. Members of the faculty and academic staff have personal and economic interests in the decisions and policies of national, state and local government.

2. Members of the faculty and academic staff retain their rights as citizens to interests of a personal or economic nature.

3. The code of ethics must distinguish between those minor and inconsequential conflicts which are unavoidable in a free society and those conflicts which are substantial and material.

4. Members of the faculty and academic staff may engage in appropriate remunerative outside activity other than university duties, and/or may maintain investments, but no member of the faculty or academic staff shall engage in any activity and/or maintain any investment if such activity and/or investment conflicts with the specific provisions of this code of ethics.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.

**UWS 8.02 Definitions.** (1) When used in this code, the following terms, unless otherwise specified, mean:

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(a) "Board" means the board of regents of the university of Wisconsin system.

(b) "Secretary" means the secretary of the board.

(c) "President" means the president of the university of Wisconsin system.

(d) "Vice President" means central administration officials with the title "Vice President" or other administrative officer with similar duties (e.g. provost).

(e) "Chancellor" means the chief executive officer of a four-year institution, the center system and university extension, or an equivalent title.

(f) "Dean" means the executive head of a college or division and center system campus deans, and includes persons titled "Dean" or their administrative equivalent in non-academic divisions. (Normally such persons would have the title "director" or some equivalent.)

(g) "Faculty" means all persons with the rank of professor, associate professor, assistant professor and instructor. For the purpose of this code it also includes members of the administration who are on leave from faculty positions.

(h) "Academic Staff" means professional and administrative personnel other than faculty with duties, and subject to types of appointments, that are primarily associated with higher education institutions or their administration.

(i) "Immediate Family" means any individual related to a member of the faculty or academic staff as a husband, wife or legal dependent.

(j) "Contracting Personnel" means any individual who engages in negotiating, reviewing, approving and/or signing contracts for the purchase of goods and services on behalf of the university or board. Contracts with outside agencies for research or for service to be performed by the university and personnel contracts are not covered. A person shall be considered "Contracting Personnel" only if so designated by the chancellor of his/her institution and notified in writing of the designation.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.

**UWS 8.03 Conflicts of interest.** (1) (a) No members of the faculty or academic staff may disregard the interests of the university of Wisconsin system in order, through use of their positions or through official conduct, to seek financial gain for themselves or their immediate families, or for any business with which they are associated.

(b) No members of the faculty or academic staff or members of their immediate families, may solicit or receive anything of value pursuant to an express or implied understanding that their official actions or judgment would be influenced thereby.

(c) No member of the faculty or academic staff or members of their immediate families may use or disclose, for direct or indirect personal financial gain, confidential university information which is defined as information relating to university financial operations or personnel

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that is obtained from university records or in the course of official university business and is not available to the general public upon request.

(d) No members of the faculty or academic staff may use or attempt to use their public positions to influence or gain unlawful benefits, unlawful advantages or privileges for themselves or others.

(e) No members of the faculty or academic staff or members of their immediate families and no business in which they own or control at least 5% interest of the outstanding stock, or at least 5% interest in such business, or in which they are an officer or director may enter into any commercial contract with the university unless the contract has been awarded through a process of public notice and competitive bidding under section 16.75(1), Wis. Stats., or unless the member of the faculty academic staff is not in a position to approve or influence the university's decision to grant the contract.

(f) No members of the faculty or academic staff or members of their immediate families and no business in which a member of the faculty or academic staff has a 5% interest may enter into a lease of real property with the state or the university of Wisconsin system unless the member of the faculty/academic staff is not in a position to approve or influence the university's decision to enter the lease, except that the board, upon specific request, may waive this subsection where it is in the best interests of the university of Wisconsin system.

(g) Without specific advance written approval of the board, no member of the faculty or academic staff or members of their immediate families may serve as an officer of a corporation or a member of its board of directors where such corporation does business with the university and he/she is in a position to influence university decisions concerning such business.

(h) No member of the faculty or academic staff, or his/her immediate family, may, as an individual, do business or enter into a contract with the university if he/she is in a position to affect the university's decision to grant such business or contract.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.

**UWS 8.04 Action upon conflict.** If any member of the faculty or academic staff believes that the discharge of his/her university duties may result in a conflict of interest, such person shall advise his/her dean, director, or other appropriate administrator of the potential for a conflict of interest. The dean, director, or other appropriate administrator shall either, a) determine that the activity in question is permissible because it is within the scope of proper professional conduct and serves the interests of the university, or, b) assign the matter to another member of the faculty or academic staff who does not have a possible conflict of interest.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.

**UWS 8.05 Sanctions.** Charges of violations of these rules shall be in the form of a verified complaint which shall state the name of the member of the faculty or academic staff alleged to have committed a violation and which shall set forth the particulars thereof. Those verified complaints involving members of the faculty or academic staff

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serving within the central administration shall be referred to the president for investigation and disposition through appropriate institutional proceedings. Verified complaints involving faculty or academic staff serving at an institution of the UW System shall be submitted to the appropriate chancellor; where the complaint is against a faculty member, the chancellor shall proceed under the rules adopted by his institution pursuant to UWS faculty personnel rules, chapter UWS 4 or section UWS 6.01 Wis. Adm. Code, as appropriate; where the complaint is against a member of the academic staff, proceedings shall comply with the rules the institution has adopted pursuant to the UWS academic staff personnel rules. In addition to institutional discipline, section 19.50, Wis. Stats. of 1973, provides that criminal penalties may be imposed for violations of these rules.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.

**UWS 8.06 Reports.** The president, vice president, chancellor, provost, vice provost and all contracting personnel shall annually, on or before April 30, file a statement of economic interest with the secretary. Such statement shall be filed on a form provided by the secretary. Such statements shall not be considered matters of public record unless disclosure is ordered by the board.

**History:** Cr. Register, June, 1975, No. 234, eff. 7-1-75.