

**Approved by: Chancellor's Cabinet**  
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*Michael Alexander*

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**Michael Alexander, Chancellor**

*Amended to Form 12-10-2023*

## **UW-Green Bay Institutional Ethics Committee**

### **GB-50-23-1**

#### **Purpose:**

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 serves as an advisory board for the assessment and recommendation of policies, standards, programs, research, and education concerning the University's ethical values, ethics culture, and ethical decision-making practices. The purpose of this Committee is not to replace other Committees which are required to adhere to federal compliance in conducting research. In all cases the decision of those Committees shall be final on any issue.

The Institutional Ethics Committee works in partnership with various University units to promote UW-Green Bay's standards for ethical action and adherence to compliance; specifically the Committee provides consultation and advice to faculty, staff, and administration in addressing codes of ethics outlined in Chapter UWS 8 of the Wisconsin Administrative Code, Regent Policy Document 20-22, UW-Green Bay HR 14-16-6 and Chapter 19.45 of the Wisconsin statutes.

The Committee shall also advise University stakeholders in addressing questions and concerns the engagement with community partners and groups to ensure that access to University resources is equitable and any community partner meets the University's standards for ethical activity.

#### **Scope:**

##### *Individual Employee Advisement:*

Under UW-Green Bay HR 14-16-6 the expectations for conduct of UW-Green Bay employees requires adherence to established policies as well as general ethical conduct. These stated expectations do not preclude the University, a department, or a work unit from establishing



additional rules that are necessary for the effective operation of that institution, department, or work unit.

These expectations listed apply to all UW-Green Bay employees and volunteers and other representatives when speaking or acting on behalf of a UW-Green Bay.

The following are expectations for conduct of all employees engaged in work through the University:

- Protect and Preserve UW System Resources
- Act Ethically and with Integrity
- Contribute to a Healthy and Safe Workplace
- Promote a Culture of Compliance

Critical to ethical behavior is not only an understanding of the federal and state ethical rules but also ensuring that UW-Green Bay is meeting its federal and state compliance obligations. To support the individual employee's understanding of these rules, as well as to clarify the application of these rules, the Committee may review questions raised by individual employees or their supervisors regarding the application of the rules to projects and actions.

Examples of issues in which items may be raised to the Committee:

- Assessment of whether outside economic interest prohibits engagement in a project or activity
- Engagement with third-party individuals or agencies where some benefit may be received to the employee
- Possible conflict of interest between the sponsoring agency and University in research projects
- Provide advisement on matters pertaining to [UWS 8.035](#) subject to Institutional Human Resources Procedures

Examples of items that are excluded from the Committee's scope:

- Observed behaviors by other employees which are reported as unethical. *These should be reported to Human Resources*
- Any confirmed conflict stemming from a familiar relationship between two employees, an employee and a student or a candidate for employment and employee requiring formal action. *These should be reported to HR*
- Criminal activity or other violation of the law.

*Community Engagement:*

Prior to the engagement in any community partnership, the University representative must consider the application of sec. 19.45 Wis.Stats. and RPD 20-22 in regards to the representative's interest as well as the access to University resources being provided under the partnership.

Specifically, the partnership must:

1. Not represent a conflict of interest on the part of the University representative which could reasonably be expected to directly or indirectly produce or assist in producing a private benefit for the University representative or the University representative's immediate family or an organization with which the University representative is associated.
2. Avoid any solicitation or transaction which results, directly or indirectly, of the receipt anything of value if it could reasonably be expected to influence such University representative's actions or judgment.
3. Adhere to all Department of Administration; University of Wisconsin Board of Regents; and Institutional policies regarding procurement and access to University resources;
4. Be equally available to all members of the community and avoid all disparate treatment of community partners based on personal affiliation, bias or past experience with the partner;
5. Ensure that the partner understands its obligation to act ethically during the partnership as a representative of the University.

### **Committee Membership:**

The Committee shall be appointed by the Chancellor on a biannual basis and shall include:

Assistant Vice-Chancellor of Policy & Compliance, Chair ( <i>ex officio</i> )	<i>Standing</i>
Director of Office of Grants & Research	<i>Standing</i>
Compliance Specialist-Risk	<i>Standing</i>
Associate Provost for Academic Affairs	<i>Standing</i>
Representative from University Advancement	<i>Per Unit</i>
Represent from Continuing Education & Community Engagement	<i>Per Unit</i>
Associate Dean of College	<i>Per Provost</i>
University Staff Representative	<i>Per USC</i>
Academic Staff Representative	<i>Per ASC</i>
Faculty Representative	<i>Faculty</i>
Senate	



Standing members shall be appointed based on job function, representatives from operational areas or governance shall be submitted for approval to the Chancellor.

All members shall engage in reasonable training to ensure an understanding of the ethical obligations of University employees and operational areas. Each member shall also be familiar with the cited statutes and policies referenced above.

### **Function:**

The Committee shall meet as needed to address issues, but not less than once per semester. The Committee may convene in person or virtually. Determinations on advisement and policy making shall be made by consensus of participating members.

### *Advisement:*

Any employee, supervisor or operational area may submit to the Committee a request for advisement on an issue which requires assessment of action within the above stated scope. Upon receipt of such request, the Committee shall review the request and engage in further fact finding as it deems necessary. The Committee shall respond to the requestor with the advisement of the Committee and document the advisement for future reference as necessary.

Upon invite by the requestor, other interested party or on its own accord the advisement may be forwarded the Dean / Director of the relevant operational area for implementation as the supervisor deems appropriate. Absent this provision, the requestor shall have the discretion to act upon the advisement as they see fit.

### *Formal Advisement:*

Any employee or supervisor may make a request for formal advisement from the Committee. The procedure for making such a request shall be made consistent with the procedures established by the Committee. The Committee shall receive information from the requestor and any other interested party and may engage in its own fact finding if it deems necessary to reach a decision. Upon conclusion of the fact finding, the Committee shall render a decision in writing and provide to the requestor and other interested parties.

### *Policy Making:*

When appropriate the Committee shall make recommendations to University Administration for the development of policies and protocols which may be necessary to ensure that employees or operational areas are adhering to expectations of both general ethical standards and federal, state and institutional policies. The Committee shall make the recommendation for the policy and thereafter the policy shall follow the process established by [GB 50-16-1](#). The Committee does not hold the authority to approve any policy outside of the process set forth in the referenced Policy.



*Resource and Referral:*

All members of the Committee are a resource for employees for questions regarding process and procedure of the Committee. Each member should be prepared to provide resources to individuals who request assistance with questions about application of UWS 8 or compliance. If the member cannot answer the question, the matter should be referred to either the Chair or the Committee for further consideration.