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9 GEN 3.A.1. UWS 8 {Unclassified Staff Code of Ethics} of the *Wisconsin Administrative Code*, Rules
10 of the Board of Regents.

11 UWS 8.01 Declaration of policy.

12 In view of the special relationship of the University of Wisconsin System to the state and to affirm as public
13 policy within the system certain common standards to prevent conflicts of interest, the board hereby
14 adopts the following code of ethics for unclassified staff pursuant to ss. 19.45 (11) (b) and 36.23, Stats.

15 (1) Every member of the unclassified staff at the time of appointment makes a personal commitment
16 to professional honesty and integrity, to seek knowledge and to share that knowledge freely with
17 others. Such a commitment is essential for the university to perform its proper function in our so-
18 ciety and to ensure continued confidence of the people of this state in the University of Wisconsin
19 System and its personnel. It is a violation of this commitment for unclassified staff members to
20 seek financial gain for themselves, their immediate families or organizations with which they are
21 associated through activities that conflict with the interests of the University of Wisconsin System.

22 (2) The board of regents, as a matter of policy, recognizes that:

23 (a) Members of the unclassified staff have personal and economic interests in the decisions and
24 policies of national, state and local government.

25 (b) Members of the unclassified staff retain their rights as citizens to interests of a personal or
26 economic nature.

27 (c) The code of ethics must distinguish between those minor and inconsequential conflicts which
28 are unavoidable in a free society and those conflicts which are substantial and material.

29 (3) In adopting the standards of conduct set forth in this chapter, it is the board's purpose to prohibit
30 only those activities which will result in a conflict between the personal interests of an unclassified
31 staff member and that staff member's public responsibilities to the University of Wisconsin Sys-
32 tem. It is not the board's purpose to prohibit an unclassified staff member from freely pursuing
33 those teaching, research, professional and public service activities which will not result in such a
34 conflict, nor to prohibit a staff member from accepting any compensation, fees, honoraria or reim-
35 bursement of expenses which may be offered in connection therewith.

36 Note: This subsection, which is new, should be read in conjunction with new UWS 8.025 con-
37 cerning outside activities. The approach reflects the view that the major inquiry in regard
38 to the acceptability of outside activities is whether they may or do present conflicts with,
39 or detract from performance of, university duties and responsibilities (sic).

40 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. (1) (a) 1. and 2. and (b) 4., renum. (1),
41 (1) (a) (intro.) and (1) (b) 1., 2. and 3. to be (intro), (1) and (2) (a) to (c) and am., cr. (3),
42 Register, January, 1986, No. 361, eff. 2-1-86.

43 UWS 8.02 Definitions.

44 In this chapter:

45 (1) "Academic staff" means professional and administrative personnel other than faculty with duties,
46 and subject to types of appointments, that are primarily associated with higher education institu-
47 tions or their administration.

48 (2) "Anything of value" means any money or property, favor, service, payment, advance, forbear-
49 ance, loan, or promise of future employment, but does not include:

- 1 (a) Any salary, expenses or other compensation received by a member of the unclassified staff
2 from the university for his or her services;
- 3 (b) Any compensation, honoraria or expenses derived from outside activities permitted under this
4 chapter;
- 5 (c) Political contributions which are reported under ch. 11, Stats.; or
- 6 (d) Hospitality extended for a purpose unrelated to university business.
- 7 (3) "Associated," when used with reference to an organization, means that a person or a member of
8 a person's immediate family is a director, officer or trustee or owns or controls, directly or indirect-
9 ly, and severally or in the aggregate, at least 10% of the outstanding equity.
- 10 (4) "Board" means the board of regents of the University of Wisconsin System.
- 11 (5) "Chancellor" means the chief executive officer of a university, the University of Wisconsin Centers
12 or the university extension.
- 13 (6) "Confidential university information" means information relating to university financial operations
14 or personnel which is obtained from university records or in the course of official university busi-
15 ness and which is not available to the general public upon request.
- 16 Note: This definition is relocated from current UWS 8.03 (1) (c).
- 17 (7) "Contracting personnel" means those persons who are designated in writing by the Chancellor of
18 an institution or the president of the system to negotiate, review, approve, or sign contracts for the
19 purchase of goods and services on behalf of an institution, the university system, or the board.
20 The term does not include persons who do either or both of the following:
- 21 (a) Contract only with outside agencies for research or for services to be performed by the uni-
22 versity; or
- 23 (b) Negotiate, review, approve or sign only employment contracts.
- 24 Note: This subsection revises current UWS 8.02 (1) (j), which is repealed.
- 25 (8) "Faculty" means persons who hold the rank of professor, associate professor, assistant professor
26 or instructor in an academic department or its functional equivalent in an institution.
- 27 (9) "Immediate family" means:
- 28 (a) An unclassified staff member's spouse; and
- 29 (b) Any person who receives, directly or indirectly, more than one half of his or her support from
30 an unclassified staff member or from whom an unclassified staff member receives, directly or
31 indirectly, more than one half of his or her support.
- 32 (10) "Institution" means any university or an organizational equivalent designated by the board.
- 33 (11) "Limited appointees" means persons holding special appointments to administrative positions
34 designated in s. 36.17, Stats., and ch. UWS 15, and who serve at the pleasure of the board or of
35 the authorized official making the appointment.
- 36 (12) "Organization" means any corporation, partnership, proprietorship, firm, enterprise, franchise, as-
37 sociation, trust or other legal entity other than an individual or body politic.
- 38 (13) "President" means the president of the University of Wisconsin System.
- 39 (14) "Secretary" means the secretary of the board.
- 40 (15) "Unclassified staff" or "staff members" means faculty, academic staff and limited appointees of the
41 University of Wisconsin System who are not subject to subch. III, ch. 19, Stats.
- 42 (16) "Vice President" means system administration officials with the title "Vice President" or other ad-
43 ministrative officers with similar duties.
- 44 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. (1) (f), (l) and (j), renun. (1) (intro.), (1)
45 (a) to (e), (g), and (h) to be (intro.), (4), (14), (13), (16), (5), (8) and (1) and am. (intro.),
46 (5), (8) and (16), cr. (2), (3), (6), (7), (9) to (12) and (15), Register, January, 1986, No.

UWS 8.025 Outside activities and interests; reports.

(1) Outside activities.

Members of the unclassified staff are free to engage in outside activities, whether or not such activities are remunerative or related to staff members' fields of academic interest or specialization. However, no member of the unclassified staff may engage in an outside activity if it conflicts with his or her public responsibilities to the University of Wisconsin System or the institution at which the unclassified staff member is employed.

(2) Reportable outside activities.

(a) The following outside activities must be reported to a staff member's Dean, director or other appropriate administrator:

1. Associations with organizations, as defined in s. UWS 8.02 (3) and (12), related to staff members' fields of academic interest or specialization;
2. Private remunerative relationships between staff members and non-governmental sponsors of university research for which the staff member is a principal investigator; and
3. Remunerative outside activities in a staff member's field of academic interest or specialization, including but not limited to consulting, and whether the staff member earns for such activities \$5,000 or more in a year from a single source.

(b) Each unclassified staff member engaging in outside activities reportable under this section shall annually, on or before April 30, file a report of outside activities with his or her Dean, director or other appropriate administrator.

(c) If, during the year, significant changes in a staff member's reportable outside activities occur, the staff member shall immediately inform, in writing, his or her Dean, director or other appropriate administrator. This information shall be placed on file with the staff member's annual statement of outside interests.

(3) Institutional policies.

The unclassified staff members of each institution, with the approval of the Chancellor, shall develop policies and procedures which shall, at a minimum, provide:

- (a) Standards concerning the use of university facilities and personnel in connection with outside activities;
- (b) Standards concerning absence from regular duties for the purpose of engaging in outside activities;
- (c) Guidelines identifying types or categories of outside activities which may result in a material conflict of interest; and
- (d) For such reports of anticipated outside activities as are necessary to ensure compliance with s. UWS 8.04.

(4) Reports public.

Information required to be reported under this section shall, unless otherwise privileged by law, be a matter of public record.

Note: This section addresses outside activities. Several explanatory points provide relevant background:

- (a) The section addresses matters heretofore handled under UWS 7 and 14, which are accordingly repealed. This change in the scope of UWS 8 was made in response to legislative suggestion.
- (b) The rule recognizes the right of unclassified staff members to engage in outside activities, whether or not the activities are remunerative or related to staff members' fields of academic interest. However, in order to assure that such activities do not conflict with staff members'

responsibilities to the University of Wisconsin System, or the institution at which the staff member serves, the rule provides that certain types of activities must be reported to staff members' deans, directors or other appropriate administrators. These reportable outside activities include associations with organizations related to staff members' fields of academic interest or specialization, certain private remunerative relationships between staff members and non-governmental research sponsors, and remunerative outside activities in staff members' fields of academic interest or specialization and whether the staff member earns \$5,000 or more in a year from a single source. The language retains the requirements currently in UWS 7 and 14 that institutions develop policies to regulate the use of university facilities in connection with outside activities, and adds a similar requirement pertaining to use of personnel. It provides a more explicit requirement for institutional development of standards on absence from university duties, and for reports on outside activities which staff members anticipate they will perform during the academic year.

- (c) Guidelines and suggestions will be provided to institutions for implementation of the Regent rule. These guidelines would include examples of standards concerning use of university facilities and absence from university duties that might be adopted under UWS 8.025 (3) (a) and (b); categories or types of activities which might present a material conflict of interest under UWS 8.025 (3) (c); reporting procedures under UWS 8.025 (4); and other relevant information.
- (d) The rule incorporates and codifies the result of litigation between the Madison Capital Times and the UW-Madison. That case, decided in Dane County Circuit Court in the spring of 1983, held that UW-Madison reports of outside activities required under UWS 7 and 14 were records open to public inspection. This section continues the existence of the reporting requirements (UWS 8.025 (2)) and declares the public nature of the reports (UWS 8.025 (4)), except in those instances where other legal principles establish a privilege for the information contained therein.
- (e) UWS 8.025 (1) indicates that the Regents' purpose is not to dictate the financial or topical terms of outside activity but to ensure that it does not present conflicts of interest or time with university duties. (See also Note to UWS 8.01 (3)).
- (f) Forms required under this section for the reporting of outside activities may be obtained from the Office of the Secretary to the Board of Regents, Room 1860 Van Hise Hall, 1220 Linden Drive, Madison, Wisconsin 53706, at no charge.

History: Cr. Register, January, 1986, No. 361, eff. 2-1-86.

UWS 8.03 Standards of conduct.

- (1) Personal gain from university position.
 - (a) No member of the unclassified staff may, in a manner contrary to the interests of the University of Wisconsin System, use or attempt to use his or her public position or state property, including property leased by the state, to gain or attempt to gain anything of substantial value for the private benefit of the staff member, his or her immediate family or any organization with which the staff member is associated.
 - (b) No member of the unclassified staff may solicit or accept from any person or organization anything of value pursuant to an express or implied understanding that his or her conduct of university business would be influenced thereby.
 - (c) No member of the unclassified staff may intentionally use or disclose confidential university information in any way that could result in the receipt of anything of value for himself or herself, for his or her immediate family or for any other person or organization with which the staff member is associated.
- (2) Contracting and leasing.
 - (a) No member of the unclassified staff, member of his or her immediate family, nor any organization with which an unclassified staff member is associated, may enter into any contract or lease involving payments of \$3,000 or more within a 12 month period, derived in whole or in part from university funds, if the staff member is in a position to approve or influence, in his or

1 her official capacity, the university's decision to enter into the contract or lease.

2 (b) If the staff member is not in a position to approve or influence the university's decision, the
3 staff member may enter into a contract or lease described in par. (a) if the staff member first
4 makes written disclosure of the nature and extent of any relationship described in par. (a) to
5 the Dean, director, or other appropriate administrator and he or she approves. The Dean, di-
6 rector or other appropriate administrator shall approve a staff member's interest in a lease or
7 contract unless he or she determines that the staff member's personal interest in the agree-
8 ment will conflict substantially and materially with the staff member's discharge of his or her
9 university responsibilities.

10 (c) This subsection does not affect the application of s. 946.13, Stats.

11 Note: This subsection repeals and amends provisions on contracting and leasing which are
12 found in current UWS 8.03 (1).

13 (3) Nepotism.

14 (a) No member of the unclassified staff may participate, formally or informally, in the decision to
15 hire, retain, grant tenure to, promote or determine the salary of a member of his or her imme-
16 diate family.

17 (b) No member of the unclassified staff may, in the supervision or management of another un-
18 classified staff member who is a member of his or her immediate family, give preferential or
19 favored treatment.

20 (4) Student research protection.

21 A member of the unclassified staff shall inform students engaged in research under his or her
22 supervision of any financial interest which the unclassified staff member has in the research
23 activity, including, but not limited to, financial arrangements involved in the direct support of
24 the activity, agreements made by the unclassified staff member to obtain data for the re-
25 search, or agreements concerning copyright or patent rights arising from the research.

26 (5) Waiver.

27 The board may, upon written request and by action within a reasonable time of receipt the-
28 reof, waive any provision of this section whenever its literal application would be adverse to
29 the best interests of the University of Wisconsin System or would work an unreasonable
30 hardship on a member of the unclassified staff.

31 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. and recr. Register, January, 1986,
32 No. 361, eff. 2-1-86.

33 **UWS 8.035 Institutional Ethics Committee.**

34 Each institution shall establish a committee, or designate an existing committee, whose function shall be
35 to provide to any member of the unclassified staff consultation and advice on the application of this chap-
36 ter. Committee deliberations and actions upon requests for consultation or advice shall be in meetings not
37 open to the public. Records obtained in connection with requests for consultation or advice shall be consi-
38 dered confidential university information. However, summaries of advice provided by institutional ethics
39 committees, which do not disclose the identities of persons requesting such advice, shall be made public
40 in an annual report.

41 History: Cr. Register, January, 1986, No. 361, eff. 2-1-86.

42 **UWS 8.04 Action to avoid possible conflict.**

43 (1) When it appears that a material conflict may arise between the personal interests of a staff mem-
44 ber and his or her public responsibilities to the university, the staff member shall notify his or her
45 Dean, director, or other appropriate administrator by submitting a written statement describing the
46 nature of the possible conflict.

47 (2) Within 15 days after receipt of the statement, the Dean, director or other appropriate administrator
48 shall advise the staff member in writing that:

49 (a) There is no conflict prohibited by this chapter and the staff member may proceed; or

1 (b) There may be a conflict and further consultation is necessary prior to reaching a determina-
2 tion; or

3 (c) There is a conflict which must be resolved in one of the following ways:

4 1. The staff member shall not proceed with his or her university duties which result in the
5 conflict, so long as the conflict remains; or

6 2. The staff member shall not proceed with his or her personal interests which result in the
7 conflict, so long as the conflict remains.

8 (3) If the staff member is advised that sub. (2) (c) 1 or 2 applies to his or her case, the staff member,
9 within 15 days after notice of the decision of the Dean, director, or other appropriate administrator,
10 may appeal the decision under ch. UWS 6 or 13.

11 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; r. and recr. Register, January, 1986, No.
12 361, eff. 2-1-86.

13 **UWS 8.05 Sanctions.**

14 (1) Any person may file a written complaint charging a violation of this chapter. The complaint shall
15 state the name of the member of the unclassified staff alleged to have committed a violation and
16 describe the violation.

17 (2) A complaint involving a member of the unclassified staff serving within System Administration
18 shall be submitted to the President for investigation and disposition in accordance with system
19 administration policies and procedures adopted pursuant to ch. UWS 11 or s. UWS 13.01, as ap-
20 propriate.

21 (3) A complaint involving a member of the faculty or the academic staff serving at an institution of the
22 University of Wisconsin System shall be submitted to the appropriate Chancellor.

23 (a) Where the complaint is against a faculty member, the Chancellor shall proceed under the pol-
24 icies and procedures adopted by his or her institution pursuant to ch. UWS 4 or s. UWS 6.01,
25 as appropriate.

26 (b) Where the complaint is against a member of the academic staff, the Chancellor shall proceed
27 under the policies and procedures the institution has adopted pursuant to ch. UWS 11 or s.
28 UWS 13.01, as appropriate.

29 (4) Complaints involving limited appointees serving at an institution of the University of Wisconsin
30 System shall be submitted to the official who made the appointment and that official shall take
31 appropriate action.

32 (5) Notwithstanding the other provisions of this section, the President or a Chancellor may investigate
33 possible violations of this chapter whenever the circumstances warrant and proceed in accor-
34 dance with subs. (1) to (4).

35 Note: For possible criminal penalties for intentional violations of this chapter, see s. 19.58,
36 Stats.

37 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; am. Register, January, 1986, No. 361, eff.
38 2-1-86.

39 **UWS 8.06 Reports.**

40 The President, Vice Presidents, Chancellors, and all contracting personnel shall annually, on or before
41 April 30, file a statement of economic interest with the secretary. The statements shall be filed on a form
42 provided by the secretary, and shall be considered matters of public record. The statements shall contain
43 the information required by s. 19.44, Stats.

44 Note: This section makes public the statements of economic interest filed with the secretary of the
45 board by the President, Vice Presidents, Chancellors and all contracting personnel. It specifies
46 that the statement is to contain the information specified in s. 19.44, Stats., which sets forth the
47 form of the statement of economic interests filed by public officials governed by the state ethics
48 code.

49 History: Cr. Register, June, 1975, No. 234, eff. 7-1-75; am. Register, January, 1986, No. 361, eff. 2-1-86.

1 **GEN 3.A.2. Code of Ethics (UWS 8) -- Unclassified Staff Code of Ethics.**

2 Chapter UWS 8, Wis. Admin. Code, may require unclassified staff members to make a report of their out-
3 side activities to their appropriate administrators (i.e., Dean/Director of Polk Library, Assistant Vice Chan-
4 cellor, Vice Chancellor, Executive Director Budget/Controller, Provost and Vice Chancellor or Chancellor).
5 Specifically, unclassified staff members should read sections UWS 8.025, (1) and (2); and UWS 8.04.

6 Citing guidelines prepared by System, a report must be filed if there is an affirmative answer to any of the
7 inquiries of Section 8.025 (2). The reporting form requires information to be provided in the following situa-
8 tions:

- 9 (1) Where a staff member or a member of his or her immediate family serves as an officer, director or
10 trustee of a business or other organization (other than a professional society) related to the staff
11 member's field of academic interest or specialization [sec. 8.025 (2)(a)1], the name and geo-
12 graphic location of the organization and the position held must be provided;
- 13 (2) Where a staff member or a member of his or her immediate family, individually or in the aggre-
14 gate, owns or controls at least 10% of the outstanding equity of any business or organization re-
15 lated to his or her field of academic interest or specialization [sec. 8.025 (2)(a) 1], the name and
16 geographic location of the business or organization must be provided;
- 17 (3) Where a staff member maintains a private remunerative relationship with any non-governmental
18 sponsor of University research for which the staff member is or was during the past year the prin-
19 cipal investigator [sec. 8.025(2)(a)2], the name and geographic location of the business or organi-
20 zation must be provided; and
- 21 (4) Where a staff member performs remunerative consulting or other services in his or her field of
22 professional interest or specialization for any business or organization [sec. 8.025(2)(a)3], the
23 identity of the organization, the type of activity or business in which it is engaged, the aggregate
24 amount of time spent on the activity, and whether the staff member earned more than \$5,000
25 from a single source must be provided; if disclosure of the name of a business or organization
26 would be inappropriate, identification of the nature of the business may suffice.

27 The report is due to the unclassified staff member's appropriate administrator annually on or before April
28 30. This report is for the calendar year April 30 to April 30. Section UWS 8.04 may require unclassified
29 staff members to report anticipated outside activities in specific instances. The information contained in
30 these reports shall be considered matters of public record.

31 Reporting the summer activities of academic year employees is not specifically addressed in the code.
32 Although summer activities performed when staff members are not under contract to the University may
33 not give rise to a conflict of interest or extend into the academic year, the suggestion has been made that
34 this situation should be viewed as a specific case and the unclassified staff member should consult with
35 his/her supervising administrator.

36 The University's Institutional Ethics Code Committee (reference, UWS 8.035) is available to provide con-
37 sultation and advice regarding the application of Chapter UWS 8. Requests should be submitted in writing
38 to the Provost and Vice Chancellor's Office.

39 The reporting forms are available from the Provost and Vice Chancellor's Office.

40 **GEN 3.A.3. Definition in Reporting of Outside Activities.**

41 Faculty and academic staff of the University of Wisconsin Oshkosh are permitted broad participation in
42 public service and other endeavors while meeting teaching, scholarly and University service responsibili-
43 ties. While activities outside the institution can enhance professional expertise and teaching skills, care
44 should be taken so that excessive participation does not unduly affect institutional programs. This section
45 shall not pertain to paid or unpaid leaves of absence, absences from campus of short duration for activi-
46 ties normally associated with institutions of higher education such as attendance at professional meetings
47 or professional speaking engagements. These absences are covered elsewhere in University policies.

- 48 (1) Faculty and academic staff must obtain the consent of their department chairperson/equivalent
49 prior to engaging in outside activities which will prevent them from meeting a class or carrying out
50 other University responsibilities and activities for which they are normally scheduled. Faculty and
51 academic staff are responsible for making arrangements as far in advance as possible to ensure

1 that the scheduled activity is appropriately covered and to inform the chairperson or director of
2 those arrangements prior to the absence.

3 (2) Faculty and academic staff members must obtain the consent of their department chairperson
4 and Dean/equivalent prior to participation in any extensive, recurring or continuing outside activity.
5 An extensive, recurring or continuing outside activity is defined as one which requires participation
6 during a period of assigned responsibilities, for a period of time equivalent to one day a week for a
7 period of seven or more weeks per year.

8 (3) Faculty outside activities shall be reported as required under UWS 8.025. A departmental chair-
9 person or Dean, however, may ask for a conference with any person whose outside activities of
10 any nature appear to be in conflict with the performance of his/her scheduled responsibilities.

11 In any instances where the conference does not result in agreement between the chairperson or
12 Dean and faculty member concerning outside activities and the responsible fulfillment of sche-
13 duled University activities, the chairperson or Dean may then ask that these activities be reviewed
14 through the consideration and appeal process, described below in the next section.

15 **GEN 3.A.4. Consideration and Appeal.**

16 (1) In most instances where differences exist concerning outside activities and the performance of an
17 individual's institutional responsibilities, those differences should be resolved, agreement
18 reached, and approval given at the lowest administrative level.

19 (2) Where differences exist and cannot be resolved through a conference between the supervisor
20 and individual, the case shall be referred in writing via statements from both the supervisor and
21 individual to the Dean, Assistant Vice Chancellor, or Vice Chancellor, as appropriate, within 14
22 calendar days following the final conference between the supervisor and the individual. The
23 Dean/Assistant Vice Chancellor/Vice Chancellor shall then, within 14 calendar days after receipt
24 of the written information, review that information, confer with both parties, and render a decision.

25 (3) If both parties agree to accept the decision, the matter shall be considered closed. If one party
26 does not accept, then the case shall be referred in writing by the Dean/Assistant Vice Chancel-
27 lor/Vice Chancellor and the disagreeing party, within 14 calendar days after the final conference,
28 to the President of the Faculty Senate (or the Senate of the Academic Staff, as appropriate) for
29 referral to a hearing committee as per FAC 9.A.2. or GOV 4.3.C.

30 (4) The committee shall, within 14 calendar days after receiving the written statement, complete its
31 investigation of the case and make a recommendation to the Provost and Vice Chancellor via the
32 President of the Senate. The Provost and Vice Chancellor shall, within 14 calendar days after re-
33 ceipt of the written statement, review that statement and conduct any other investigation deemed
34 necessary and render a decision which shall be final. The decision of the Provost and Vice Chan-
35 cellor shall be communicated in writing to the individual, all supervisors, the President of the Se-
36 nate and the Chancellor. If the disagreement occurred within the purview of a Vice Chancellor, the
37 Vice Chancellor may appeal to the Chancellor.

38 **GEN 3.A.5. Record Maintenance.**

39 Current and complete records of outside activities of a recurring or continuing nature shall be maintained
40 in the individual's personnel files.

41 **GEN 3.A.6. Investigator's Financial Disclosure Policy (IFDF).**

42 (1) Filing Requirement.

43 Consistent with applicable federal regulations (*Federal Register* Vol. 59:33242-33251 and 33308-
44 33312, June 28, 1994 and *Federal Register* Vol. 60:35810-35823, July 11, 1995), and to assure
45 timely processing of applications for federal funding, an investigator who is planning to participate
46 in a federally funded research or educational activity must submit a University of Wisconsin Osh-
47 kosh Investigator's Financial Disclosure Form (IFDF) to her/his department chair or director prior
48 to University transmittal of their proposal to a federal agency. The regulations define "investigator"
49 as the principal investigator and any other person who is responsible for the design, conduct or
50 reporting of federally funded research or educational activities. (Note: In some circumstances stu-
51 dents, technical personnel and administrators may not be "responsible," but in other circum-

1 tances they may be, in that they are given responsibility for a task that could have a significant ef-
2 fect on the design, conduct or reporting of the research or educational activities.)

3 (2) University's Institutional Ethics Code Committee.

4 The University's Institutional Ethics Code Committee (IECC) is available to provide consultation
5 and advice regarding the application of these regulations. This committee will conduct the review
6 of potential conflicts arising under this policy. The committee shall meet as necessary to carry out
7 its responsibilities under this policy.

8 (3) Review Process.

9 Within 10 working days of receipt, the investigator's department chair or director must review,
10 sign, and forward the IFDF to the appropriate Dean.

11 The Dean shall review the IFDF within 10 working days of its receipt. If the Dean determines, after
12 review of the IFDF, that no conflict of interest exists, s/he shall notify the investigator and the Of-
13 fice of Grants and Faculty Development of the determination. Upon such a determination by the
14 Dean, the expenditure of any awarded research funds may proceed.

15 If the Dean determines, after reviewing an IFDF, that a potential for conflict of interest exists, s/he
16 will notify the investigator, the IECC, and of the Office of Grants and Faculty Development of the
17 potential conflict of interest. If the investigator with a potential conflict of interest decides to pro-
18 ceed with a submission of a proposal to a federal agency, the investigator must also send an ab-
19 stract of the proposal and an explanation of why there is no conflict, or an explanation of potential
20 solutions to the conflict, to the IECC. If, after review of the submitted documentation, the IECC
21 decides there is no conflict of interest, the IECC will notify the investigator, the Dean, and Office of
22 Grants and Faculty Development. *[A "no conflict of interest" determination could arise in the fol-
23 lowing circumstances: if the investigator's income is not from a "for profit" business; or, if the in-
24 vestigator's income is from textbook writing.]*

25 If the IECC decides that a conflict of interest does exist, it will convene a meeting with the investi-
26 gator and the investigator's Dean. At the meeting, any party may suggest ways to eliminate, re-
27 solve or manage the conflict of interest. *[One way a conflict could be managed is for the IECC to
28 appoint a 2-3 member project oversight committee. Ideally, members of a project oversight com-
29 mittee would have expertise in areas related to the investigator's proposed research area. All
30 project oversight committees would be required to file annual reports with the IECC concerning
31 their ongoing role in the management of the conflict. Section 50.605 of Subpart F, 42 CFR Part
32 50, includes several other suggestions for managing a conflict of interest.]* If the IECC, the inves-
33 tigator, and the Dean all agree on how to manage a conflict, the IECC will notify the Office of
34 Grants and Faculty Development that the conflict of interest is manageable and that the University
35 can expend the federal grant if awarded.

36 If a conflict cannot be resolved or managed by the above process, an appeal process shall be
37 provided. If an investigator requests an appeal, the investigator's Dean shall convene and preside
38 over a three to five-member appeals committee, consisting of at least one representative from the
39 IECC, and other qualified persons appointed by the Chancellor.

40 If the conflict is resolved or managed through the appeal process, the Office of Grants and Facul-
41 ty Development shall be notified that the conflict of interest is manageable and the University can
42 accept the federal grant if awarded. If the conflict is not resolved or managed through the appeal
43 process, the University may not expend the federal grant.

44 If, during the course of the year, circumstances concerning an investigator's significant financial
45 interests change, the investigator shall submit a revised IFDF to his/her department chair or direc-
46 tor, and the above steps for reviewing the revised IFDF shall be followed.

47 The Office of Grants and Faculty Development will maintain records of all investigator financial
48 disclosures and of all actions taken to resolve or manage potential conflicts of interest for at least
49 three years after the termination or completion of the award to which they relate.

50 (4) Forms.

51 Forms are available in the Office of Grants and Faculty Development.

1 GEN 3. Employment Considerations.

2 Part B. Benefits.

- 3 GEN 3.B.1. Insurance Benefits.
- 4 GEN 3.B.2. Sick Leave.
- 5 GEN 3.B.3. Vacation.
- 6 GEN 3.B.4. Holidays.
- 7 GEN 3.B.5. Religious Observances Awareness Statement
- 8 GEN 3.B.6. Family Leave.
- 9 GEN 3.B.7. Catastrophic Leave.
- 10 GEN 3.B.8. Saving for Retirement.
- 11 GEN 3.B.9. Travel Regulations.
- 12 GEN 3.B.10. Job-Related Absences.
- 13 GEN 3.B.11. Faculty Absences from Regular Duties.
- 14 GEN 3.B.12. Jury Duty.
- 15 GEN 3.B.13. Leaves of Absence.
- 16 GEN 3.B.14. Service as an Expert Witness or to Agencies Granting Funds.
- 17 GEN 3.B.15. Leave Reporting
- 18 GEN 3.B.16. Tuition Reimbursement.
- 19 GEN 3.B.17. Graduate Course Enrollment.
- 20 GEN 3.B.18. Use of University Facilities.
- 21 GEN 3.B.19. Emeritus Status.
- 22 GEN 3.B.20. Transitional Return to Work

23 GEN 3.B.1. Insurance Benefits.

- 24 (1) The following insurance benefits are available to faculty and academic staff who are participants
25 in the Wisconsin Retirement System. Information regarding eligibility dates, monthly rates, and
26 applications are available in the Human Resources Office.
 - 27 (a) Accidental Death and Dismemberment - coverage available for employee, spouse, and de-
28 pendent children; domestic partners and his/her dependents may be eligible upon completion
29 of the "Affidavit of Domestic Partnership" form
 - 30 (b) Additional Term Life Insurance - coverage available for employee, spouse, and children; do-
31 mestic partners and his/her dependents may be eligible upon completion of the "Affidavit of
32 Domestic Partnership" form
 - 33 (c) Catastrophic Insurance - major/medical and some dental coverage available to employee,
34 spouse, and dependent children
 - 35 (d) Dental Insurance - some dental coverage available for employee and family; domestic part-
36 ners and his/her dependents may be eligible upon completion of the "Affidavit of Domestic
37 Partnership" form
 - 38 (e) Group Health Insurance - comprehensive medical and hospitalization for employee, spouse,
39 and dependent children
 - 40 (f) Group Life Insurance - term life coverage available for employee, spouse, and dependent
41 children
 - 42 (g) University Insurance Association - mandatory term life insurance for all employees earning a
43 specified monthly salary
- 44 (2) The following insurance benefits are available to faculty, graduate assistants, and academic staff
45 who do not contribute to the Wisconsin Retirement System but who are employed at least one-
46 third time. Detailed information regarding eligibility, monthly rates, and applications are available
47 in the Human Resources Office.
 - 48 (a) Accidental Death and Dismemberment - coverage available for employee, spouse, and de-
49 pendent children; domestic partners and his/her dependents may be eligible upon completion
50 of the "Affidavit of Domestic Partnership" form

- 1 (b) Additional Term Life Insurance - coverage available for employee, spouse, and children; do-
2 mestic partners and his/her dependents may be eligible upon completion of the "Affidavit of
3 Domestic Partnership" form
- 4 (c) Catastrophic Insurance - major/medical and some dental coverage available to employee,
5 spouse, and dependent children
- 6 (d) Dental Insurance - some dental coverage available for employee and family; domestic part-
7 ners and his/her dependents may be eligible upon completion of the "Affidavit of Domestic
8 Partnership" form
- 9 (e) Group Health Insurance - comprehensive medical and hospitalization for employee, spouse,
10 and dependent children
- 11 (f) University Insurance Association - mandatory term life insurance for all employees earning a
12 specified monthly salary **(not available to graduate assistants)**

13 **GEN 3.B.2. Sick Leave.**

14 UWS 10.04 Unclassified Staff Sick Leave Policy. (Revised 12/19/07)

15 Certification of Medical Necessity Requirement for Faculty, Limited Appointees, and Academic Staff use of
16 Sick Leave:

- 17 (1) UW institutions shall require written certification from a health care provider of the medical neces-
18 sity for use of sick leave for absences of more than 5 consecutive full working days, except where
19 the use of sick leave is authorized in advance.
- 20 (2) Where an institution is aware of an emergency that prevents communicating with or obtaining in-
21 formation about the condition of the employee, such written certification shall not be required until
22 such time as communication is possible and appropriate, given the condition of the employee.
- 23 (3) In cases of suspected abuse of the sick leave privilege, the institution shall be authorized to re-
24 quire written certification from a health care provider to verify the medical necessity for the em-
25 ployee's absence regardless of the length of absence.

26 Sick leave is earned by all faculty and academic staff who are employed for one year for at least one-third
27 of what is considered full-time employment. Full-time employees are awarded 22 days of sick leave for the
28 first 1.5 years of service. Subsequently six days per semester are earned by academic year employees
29 and one day per month by annual employees with a maximum accumulation limited to 12 days per year.
30 Less than full time employees earn a proration of sick leave. Sick leave credits are not accumulated during
31 any period of unpaid leave.

- 32 (1) Sick leave accumulates from year to year. Unused sick leave credits are converted to dollars to
33 be used to purchase health insurance at retirement.
- 34 (2) For full-time appointments, sick leave is used in increments of half or full days. Persons who are
35 absent due to sick leave usage for less than two hours are not required to report sick leave
36 usage. Absences between two and six hours are recorded as one-half day usage. Absences over
37 six hours are recorded as full day usage. Sick leave is not required to be used on weekends un-
38 less the weekend is part of the employee's 40-hour work week. Employees with less than full-time
39 appointments must report actual hours absent. Sick leave used during Summer and Interims by
40 academic year employees should be reported in actual hours.
- 41 (3) Use of sick leave is recorded monthly on a leave accounting report. The report is completed by
42 the employee (whether or not any leave is used), approved by Department Chair/Dean/Director,
43 and returned to the Human Resources Office for recording. Faculty on sabbatical must continue
44 to complete and return a monthly leave accounting report. A statement is provided to covered
45 employees indicating sick leave balance as of the end of the previous month. An annual state-
46 ment is provided to each employee recapping the previous academic/fiscal year.
- 47 (4) Effective with sick leave accrued in fiscal year 2007-08, any employee who fails to file a report on
48 leave usage as required by UW System policy in one or more months of any year shall not be
49 permitted to accrue sick leave for that year in an amount exceeding the cap established by
50 40.05(4)(bp)1., Wis. Stats. (i.e., 8.5 days for an annual unclassified employee or 6.4 days for an

1 academic year unclassified employee.

- 2 (5) Faculty granted sabbatical leave shall earn sick leave at the same rate as was in effect immediately before the sabbatical leave began. A faculty member who is absent from work during a sabbatical leave for a reason covered under sick leave must report the sick leave usage.
- 3
- 4
- 5 (6) Sick leave may be used for absence due to personal illness (including doctor/dentist appointments), injury, disability, pregnancy, or adoption; attendance upon an immediate family member whose health or medical condition requires the employee's direct care (including doctor/dentist appointments); and the death of an immediate family member. Three days of sick leave may be used for attendance at funerals of family members. An additional four days of sick leave may be used for travel if needed. Accumulated sick leave can also be used for attendance upon an immediate family member, including a domestic partner, whose health or medical condition requires the employee's direct care.
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- 13 (7) Teaching responsibilities not met because of an absence identified in section (6) above must be reported as sick leave, regardless of whether a qualified instructor covers the teaching responsibilities. Teaching responsibilities include: class time preparation, actual classroom instruction, and scheduled office hours.
- 14
- 15
- 16
- 17 (8) Sick leave during summer session may be used provided inception of the illness occurs on the first or subsequent day of summer session.
- 18
- 19 (9) Sections 40.95 and 230.12(9), Wis. Stats., provides supplemental sick leave hours at retirement to employees with 15 or more years of continuous service, within certain maximums. These supplemental hours are added to the existing sick leave balance and the total is multiplied by the highest base rate of pay to pay future healthcare premiums. This benefit also allows, within limitations, the restoration of an additional 500 hours of sick leave is at least 500 hours of sick leave were used to cover a single illness occurring in the final three years of employment. These credits may not be converted into any type of cash equivalent.
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- 26 (10) For the purposes of collecting and reporting sick leave, each full-time unclassified employee will designate a work week consisting of 40 hours as required by 40.05(4)(bp)3.a., Wis. Stats. The work week will be pro-rated for a less than full-time appointment. The work week will include all scheduled classes, office hours and research, as well as other regular University meetings and professional activities.
- 27
- 28
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- 31 a) For purposes of this section, a normal work week is deemed to consist of 40 hours worked within a fixed and regularly recurring period of seven consecutive days. Hours worked per day may vary.
- 32
- 33
- 34 b) The work week will be defined either by: automatic consent to the standard business week Monday through Friday for 7:45 a.m. to 4:30 p.m.; or by mutual agreement, in writing, with the department chair or other designated supervisor.
- 35
- 36
- 37 (11) Information regarding sick leave may be obtained from the Human Resources Office.

38 **GEN 3.B.3. Vacation.**

39 All full time unclassified annual appointees shall have 22 working days (176 hours) per fiscal year for vacation. Annual appointees whose appointment is at least one-third time for a fiscal year will earn a proration of the 22 days of vacation per year. Annual appointees whose appointment is less than one-third time for a fiscal year will not earn vacation.

40

41

42

43 The following conditions apply to vacation usage.

- 44 (1) Immediate supervisor must approve all requests for vacation.
- 45
- 46 (2) Up to 22 unused vacation days earned in one fiscal year may be carried forward to be used the next fiscal year.
- 47
- 48 (3) Official records are kept in the Human Resources Office. Vacation used is recorded monthly on the Leave Statement by the employee, signed by the Dean/Director and forwarded to the Human Resources Office for recording. A monthly leave accounting statement is provided to the employee indicating vacation balances.
- 49
- 50

- 1 (4) Employees hired from other state agencies may transfer unused vacation to the University of
2 Wisconsin Oshkosh. Employees leaving the University of Wisconsin Oshkosh for employment
3 with another state agency may transfer unused vacation if the details with the other state agency
4 can be agreed upon.
- 5 (5) If an annual appointee is to leave the University of Wisconsin Oshkosh and the unused vacation
6 cannot be transferred or if the employee retires or transfers to an academic appointment, the em-
7 ployee is encouraged to use all accrued vacation time before the annual appointment is termi-
8 nated. If the vacation cannot be used prior to termination, payment of unused earned vacation will
9 be made.
- 10 (6) An adjustment to the final pay check of terminating employees will be made for anyone using
11 more vacation than has been accrued.
- 12 (7) Staff who have completed ten or more years of State of Wisconsin service as of June 30 in ap-
13 pointments earning vacation, or as unclassified university participants in the Wisconsin Retirement
14 System, may, at their option, reserve up to five days of vacation (prorated for part-time em-
15 ployees) each fiscal year in an Annual Leave Reserve Account (ALRA). There is no maximum on
16 the lifetime accumulation in an ALRA. Vacation accumulated in an Annual Leave Reserve Ac-
17 count may be used at any time subject to supervisor approval, or will be paid out at the time of
18 resignation or retirement.
- 19 (8) Faculty, Academic Staff and Limited Appointees, with annual pay basis appointments, who have
20 completed 25 years of service as of June 30 may “bank” up to 10 days of paid annual leave in
21 ALRA. For staff whose appointment is less than full time, the 10 days will be prorated.
- 22 (9) The years of service eligibility is determined on June 30 of each year for eligibility to “bank” or
23 elect a cash option in the following fiscal year. Years of service are defined as years of State of
24 Wisconsin service earning vacation, or as unclassified university participants in the Wisconsin Re-
25 tirement System.

26 **GEN 3.B.4. Holidays.**

27 The State of Wisconsin observes nine paid holidays in addition to vacation. (s.230.35(4)(a))

- 28 (1) January 1
29 (2) Third Monday in January
30 (3) Last Monday in May
31 (4) July 4
32 (5) First Monday in September
33 (6) Fourth Thursday in November
34 (7) December 24
35 (8) December 25
36 (9) December 31

37 If January 1, July 4, or December 25 falls on Sunday, the holiday will be observed on Monday. If a holiday
38 falls on Saturday, the employee may use the holiday anytime after that date in the same calendar year,
39 with the approval of the immediate supervisor.

40 On other legal and religious holidays the University remains open. However, the University is obli-
41 gated to accommodate any employee who requests vacation or personal holiday time off for religious
42 reasons. Employees may not be ordered to work if they advise a supervisor that religious beliefs re-
43 quire them to refrain from work on a specific day.

44 Personal Holidays: Faculty, Academic Staff and Limited Appointments with an annual pay basis receive
45 four and one-half days of Personal Holiday each fiscal year. Staff whose appointments are less than
46 full time receive a proration of the entitlement. The four and one-half days are granted on July 1 or the
47 employee’s date of hire and expire at the end of that fiscal year. Personal holidays not used prior to
48 resignation or retirement may be converted to cash payment at that time.

1 **GEN 3.B.5. Religious Observances Awareness Statement**

2 The University of Wisconsin Oshkosh, complying with Title VII of the 1964 Civil Rights Act, and in accordance with its commitment to diversity in employment, supports awareness of its employees' religious observances. Employees represent many different religions, and the University seeks to be sensitive to individual needs by balancing work requirements and the private exercise of religious beliefs.

6 If an employee would like time off for a religious observance, the employee must consult with his or her supervisor. For employees who accrue leave, the time off would be taken from the employee's accrued leave or it could be taken without pay. Employees who do not accrue leave would need to make appropriate arrangements within their department/unit concerning the time used. The University will respect the sincerely held religious beliefs of employees and grant the requested time off, unless an accommodation would result in undue hardship for the unit involved. If resolution to a request for time off cannot be achieved at the supervisory level, the Office of Equity and Affirmative Action may be consulted for advice.

13 Additionally, efforts should be made to take into account religious holy days and observances when scheduling meetings and other University events, with the understanding that conflicts with such holy days and observances could be unavoidable given the scheduling needs of the University.

16 **GEN 3.B.6. Family Leave.**

- 17 (1) Family and medical leave does not constitute a break in continuous service for faculty (ch. UWS 18 3.04(s), Wis. Admin. Code) or academic staff (UWS 10.3(2)(a)3, Wis. Admin. Code). When the 19 leave is due to childbirth or adoption, or significant responsibilities with respect to the employee's 20 own or a family member's disability or chronic illness, and whose circumstances could significantly 21 impede progress toward achieving tenure, that leave is not included in the seven-year probationary 22 period. (Faculty may wish to review FAC 3.2.B. for stopping or suspending the tenure clock.) 23 Faculty and academic staff may be granted up to a year probationary extension for the birth or 24 adoption of a child.
- 25 (2) The federal Family and Medical Leave Act of 1993 (FMLA) provides up to 12 weeks per fiscal 26 year of job-protected unpaid leave with continued medical benefits for employees who have 27 worked for at least 1,250 hours of service during the 12-month period preceding the beginning of 28 the leave. Leave can be requested to care for your child after birth, adoption or foster care 29 placement, to care for a legal spouse, child, or parent (but not the spouse's parent) with a serious 30 health condition, or for an employee's own serious health condition. If both parents work for the 31 University each would be eligible for a total of twelve weeks of leave. When both employees work 32 for the same department within the University the employees should make a reasonable effort to 33 consider the impact on the employing department. Should the employee not be eligible under the 34 federal Family and Medical Leave Act, he/she may be considered under the Wisconsin Family 35 and Medical Leave Act.
- 36 (3) An employee with a domestic partner who will give birth to a child, adopt a child, or is placed with 37 a foster child is eligible for federal Family and Medical Leave for the birth or care of the child if the 38 employee has become a legal guardian of the child. The employee is eligible for federal FMLA for 39 a child with a serious health condition if he/she has become a legal guardian of the child.
- 40 (4) The Wisconsin Family and Medical Leave Act (WFMLA) provides up to ten weeks per fiscal year 41 of job-protected unpaid leave with continued medical benefits for employees who have worked for 42 at least 1,000 hours during the 52-week period preceding beginning of the leave. Leave taken for 43 family medical leave must run concurrently under FMLA, WFMLA and other leave available to 44 university employees. Thus, the leave available under the various provisions is exhausted simultaneously. 45
- 46 (5) Under both laws, the employee must be returned to the same position or an equivalent position 47 after the end of the leave with no loss in pay, benefits, or other terms and conditions of employment. 48 In addition, the employee's group health coverage must be maintained under the same 49 conditions as existed prior to the leave.
- 50 (6) The family medical leave laws assume the employee will not be paid, but allows the use of accumulated 51 leave (sick leave, vacation, personal holidays, ALRA) to remain in paid status during the 52 leave.

- 1 (7) Medical certification may be required by the employer; leave may be denied until the receipt of the
2 required certification.
- 3 (8) An employee may take intermittent or reduced leave in connection with the serious health condi-
4 tion of a spouse, child or parent, his/her own serious health condition, or the birth of a child or
5 placement of child for adoption or foster care with the employer's approval. The employee must
6 work with the supervisor to schedule such intermittent or partial leave so it does not unduly disrupt
7 the employer's operations.
- 8 (9) Family leave may commence before the birth or placement but must conclude within one year af-
9 ter birth or placement. At least 30 calendar days' notice may be required if the need for leave is
10 foreseeable. If leave is not foreseeable, the employee shall provide as much notice as is practica-
11 ble. Contact the Human Resources Office for information regarding Federal Family Leave Act and
12 Wisconsin Family Leave Act regulations regarding leave usage.
- 13 (10) Under both the federal and state family medical leave laws, if the employee does not return from
14 leave, or terminates employment within 30 days of returning the employer may recover the health
15 insurance premiums paid during the leave.
- 16 (11) Unclassified staff are guaranteed specific terms of leave to donate bone marrow or a human or-
17 gan. This leave benefit guarantees an individual 5 days to recover for donating bone marrow and
18 30 days for donating an organ. During these periods, the donating individual is not required to
19 charge sick leave or their vacation entitlement. (See UPG 10.08.) The donor must complete an
20 institutional notification form, see UPG #10, Attachment 3, Intent to Donate Bone Marrow or a
21 Human Organ, notifying the institution of his/her intent to donate bone marrow or a human organ.

22 **GEN 3.B.7. Catastrophic Leave.**

23 Faculty and Academic Staff members are, in special circumstances determined by the Chancellor or de-
24 signee, able to donate leave to another unclassified staff member who has exhausted all paid leave bene-
25 fits. Catastrophic leave is administered in accordance with UPG 9.07 Catastrophic Leave of the University
26 of Wisconsin System Unclassified Personnel Guidelines. Procedures for applying for catastrophic leave
27 for unclassified (and classified) employees can be found on the Human Resources Office web site.
28 <http://www.uwosh.edu/hr/>

29
30 Board of Regents Resolution 8227 (October 6, 2000) established a catastrophic leave plan for faculty and
31 academic staff. Where in the judgment of the Chancellor or designee, special circumstances validate the
32 need, unclassified staff may at their option donate leave to another unclassified staff who has exhausted
33 all paid leave benefits. Only vacation, personal holidays, floating holidays and leave "banked" in an
34 annual leave reserve account may be donated. Sick leave may not be donated.

35
36 Catastrophic illness is defined as any illness, medical condition or injury that incapacitates, or is expected
37 to incapacitate a staff member or a staff member's "immediate family member," (to include a domestic
38 partner) as defined in Unclassified Personnel Guideline (UPG) #10.01, and that requires the staff mem-
39 ber's personal attention for an extended period of time.

40
41 Leave may be donated as frequently as the unclassified donor desires but must be donated in full day in-
42 crements only. Donated leave will be transferred to a leave account for the recipient's use.

43
44 In order to qualify for the receipt of donated leave under this program the unclassified staff member must
45 satisfy the following conditions:

- 46
47 (1) Be on an approved unpaid leave of absence due to a catastrophic illness or medical condition of
48 the staff member or the staff member's "immediate family member" (to include a domestic partner)
49 as defined in UPG #10.01.
- 50 (2) Provide sufficient information, in writing, to the Chancellor or designee, to conclude a catastrophic
51 illness or medical condition exists. Such information or correspondence shall be treated in a high-
52 ly confidential manner due to the sensitivity of the personal/medical nature of the request.
- 53 (3) Must have exhausted all paid leave benefits available to him/her including sick leave.

1
2 All unclassified staff may benefit from leave donated under this program. Recipients of donated leave will
3 not be limited to vacation earning positions. The recipient retains all future rights and interest in the leave
4 donated, credited to their account, under this program. The recipient may use the leave donated in any
5 amount up to the percentage of his/her budgeted position.

6
7 Leave donated under the Catastrophic Leave program may be used to meet the Income Continuation In-
8 surance (ICI) elimination period. At no time may payments received under the Catastrophic Leave Pro-
9 gram and the ICI program, or any other state sponsored income replacement program, be collected simul-
10 taneously.

11
12 Unclassified leave can not be donated to classified staff or vice versa.

13 **GEN 3.B.8. Saving for Retirement.**

14 Tax Sheltered Annuities and Deferred Compensation (403B and Sec. 457 plans) are available through
15 payroll deduction for all employees. Information is available in the Human Resources Office.

16 **GEN 3.B.9. Travel Regulations.**

17 Permission for unclassified employees to travel as representatives of the University comes from the
18 Chancellor, Provost and Vice Chancellor, Vice Chancellors, Associate Vice Chancellor, Assistant Vice
19 Chancellors or Deans. For departmental members, the recommendation of the department is also needed.

20 When a faculty or academic staff member receives permission for travel under an expense account, reim-
21 bursement will be made for expenses incurred, subject to limitations imposed by the approving units and
22 state regulations. For transportation, the University utilizes, whenever possible, its own vehicles. Requests
23 for reservations are made with Facilities Management as far in advance as possible. The reservations will
24 need to include the date, departure time, returning time, destination, and passenger list. It is extremely
25 important that the vehicle be returned at the time indicated in the reservation, and that keys and reports be
26 returned in accordance with the instructions of the dispatcher.

27 The faculty or academic staff member signing out a University vehicle assumes responsibility for the ob-
28 servance of all legal regulations in the operation of the University vehicle. The driver is covered by Univer-
29 sity liability insurance. Additional information regarding insurance coverage, driver authorization regula-
30 tions, etc., is available through the Office of Facilities Management. The faculty or academic staff member
31 signing out a University vehicle assumes responsibility for the conduct of any students involved in the trip.

32 If the faculty or academic staff member uses a non-state car on official state business, the primary insur-
33 ance coverage is supplied by the owner/operator of the vehicle. The state has excess liability coverage in
34 situations where liability actions exceed owner/operator coverage. More complete information may be ob-
35 tained from the University of Wisconsin Oshkosh Risk Management Office.

36 When a trip is completed, the faculty or academic staff member files an accounting of all approved ex-
37 penditures with the Controller's Office through the department office. Forms may be obtained from the
38 Department Chairperson or equivalent. The Travel Expense Report form may also be found by going to
39 the campus home page, clicking on Index and going to Financial System Forms. When the Travel Ex-
40 pense Report Form is filed, receipts for all motel and transportation expenses in excess of \$25.00 must be
41 attached, along with meal expense receipts that exceed the guidelines as established by state regulations
42 with a justification for going over the allowed maximum. It is requested that all expenses be filed promptly.
43 Failure to file within 30 days will result in an extended delay in processing.

44 The Travel Regulations, along with other helpful travel information, may be accessed at:
45 <http://www.uwsa.edu/fadmin/travel.htm>.

46 **GEN 3.B.10. Job-Related Absence.**

- 47 (1) There are instances when individuals will need to be off campus on university business that is not
48 part of their normal routines. Such occasions might include absences for professional matters
49 such as recruiting trips, attendance at professional meetings, serving as a speaker for an organi-
50 zation for training purposes, etc. To ensure insurance coverage, proper forms will need to be filed
51 and appropriate approvals obtained. Forms and approval processes vary among colleges and
52 units. Contact your department chair, dean's office or other immediate supervisor for the neces-

1 sary requirements.

2 (2) Travel Reimbursement Requests.

3 All University departments require pre-approval for reimbursement for out-of-state and/or in-state
4 travel. Levels of funding, approval processes, and forms vary among colleges and other units.
5 Each unit has unique requirements but all must meet the restrictions and procedures imposed by
6 the State of Wisconsin. Contact your department chair, dean's office or other immediate supervi-
7 sor for the necessary requirements.

8 **GEN 3.B.11. Faculty Absences From Regular Duties.**

9 This section does not pertain to paid or unpaid leaves of absence, which are subject to rules and policies
10 of the Board of Regents. It is the responsibility of every member of the faculty, as a professional and legal
11 obligation, to meet his/her classes.

12 Should a faculty member need to be absent from his/her duties for reasons within the individual's control,
13 prior permission must be obtained from the immediate supervisor (chairperson/director), and the faculty
14 member will make arrangements appropriate to the needs of his/her students. Decisions of the supervisor
15 may be appealed to the Dean. When an absence is necessary for reasons beyond the individual's control
16 (e.g. sudden illness), the immediate supervisor will be informed of the absence as early as possible and of
17 the reason for the absence.

18 If an absence under the provisions of this section is one of a continuing nature, the faculty member shall
19 discuss with his/her Dean/director (with the knowledge of the department chairperson or equivalent)
20 whether the absences are in the best interest of the University and the State of Wisconsin. If permission to
21 continue absences is not granted by the Dean, the faculty member and the Dean should discuss whether
22 a leave of mutual consent would be in order. The faculty member may appeal the Dean's decision through
23 subsequent levels of authority to the level of the Chancellor.

24 **GEN 3.B.12. Jury Duty.**

25 Faculty and academic staff members who are summoned for jury duty are entitled to a paid leave of ab-
26 sence for absence required pursuant to the summons (and subsequent service on a jury). No deduction
27 shall be made from pay (nor shall there be an interruption in pay) due to any leaves of absence that are
28 caused by jury duty. [Reference Section 230.35 (3) (c), *Wisconsin Statutes*.]

29 Once summoned for jury duty, faculty and academic staff members should make appropriate arrange-
30 ments with their immediate supervisor. Copies of the summons may be requested for inclusion in the per-
31 sonnel file.

32 **GEN 3.B.13. Leaves of Absence. Board of Regents Policy 89-8 (11/10/89) (See Also: FAC 3.2.A.**
33 **Probationary Appointments, FAC 3.10. Leaves of Absence, FAC 4.A.3. Sabbaticals,**
34 **and FAC 8.A.3. Seniority).**

35 (1) Board of Regents Policy 89-8 (11/10/89) Leave of Absence Policy and Policy for Unclassified
36 Employees Seeking or Accepting Political Office or Appointments. (See Also: FAC 3.2.A. Probationary Appointments, FAC 3.10. Leaves of Absence, FAC 4.A.3. Sabbaticals, and FAC 8.A.3. Seniority.)

39 (2) University Policy.

40 Requests for leaves should be initiated as far in advance as possible so adequate staffing prepara-
41 tions can be made by the unit. The request should be sent to the supervisor for recommenda-
42 tion to the appropriate Vice Chancellor or equivalent. The request should indicate the reasons for
43 the leave of absence, and list the beginning and ending dates of the leave.

44 Programmatic consideration and the need for program continuity are two factors that will be con-
45 sidered.

46 It is also possible to request a part-time leave of absence, and in this case the letter should also
47 indicate the percent of time the individual wishes to be on leave.

48 Academic Staff: A leave of absence or professional improvement assignment shall not constitute
49 a break in service nor shall it constitute any part of continuous service. Leaves of absence shall
50 count toward seniority as applied to layoff (ACS 14.4).

1 Faculty: Leaves of absence without pay shall not count toward tenure, nor shall they constitute a
2 break in service.

3 An employee on leave of absence is eligible for increases in pay following the normal procedures
4 used during salary administration each year.

5 **GEN 3.B.14. Service As An Expert Witness Or To Agencies Granting Funds.**

6 (1) All service as an expert witness or advisor to a party in any judicial or administrative actions
7 should normally be reported in advance, in writing, to the appropriate Dean or director. If the fa-
8 culty member chooses not to follow this procedure, he/she must ensure that it is made clear that
9 he/she is acting as a private citizen and that his/her activity is not sanctioned by the University.

10 (2) Any faculty member who is asked to serve as an advisor or administrator to a public or private
11 agency which grants money or decides policy for grants shall ascertain in advance that his/her
12 participation will not adversely affect the University's eligibility for funds through the agency in-
13 volved. This information shall be reported to the Chancellor through the appropriate Dean or di-
14 rector.

15 **GEN 3.B.15. Leave Reporting.**

16 UWS 9.10 Leave Reporting

17 The UWS Service Center will provide each unclassified staff a monthly report detailing their official leave
18 balances. Each unclassified staff member is required to complete, sign and file a monthly leave report
19 whether or not leave is used. The leave report must contain the written attestation, *"I certify that my leave
20 report is accurate. I understand that misrepresentation can lead to disciplinary action."* The monthly leave
21 report must also be signed by the unclassified staff member's department chair, director, supervisor or
22 designee. The designated signatory for the Chancellor's monthly leave report is the Provost/Vice Chancel-
23 lor (deputy) or the CBO/Vice Executive Senior Vice President. <http://www.uwosh.edu/hr/>

24 **GEN 3.B.16. Tuition Reimbursement for Authorized Job-Related Coursework.**

25 (1) UW System Policy.

26 The University of Wisconsin System policy regarding tuition reimbursement for authorized
27 coursework and training is described in the General Administrative Policy Paper 25 (GAPP 25),
28 Revision 4 - 9/85.

29 (2) Campus Guidelines.

30 The following institutional guidelines are drawn from GAPP 25. A faculty or academic staff mem-
31 ber with half-time or greater appointment may qualify for the reimbursement policies. Payment
32 shall be from institutional/departmental budgets. Requests for coursework or training are initiated
33 by the employee and reviewed and approved or disapproved through all administrative levels.
34 Normally coursework is taken on an employee's own time. Approval of a reimbursement request
35 is dependent upon availability of funding.

36 The following three items must be submitted when requesting reimbursement:

37 (a) Evidence of prior approval/agreement between the University and the employee including a
38 statement of job or career relatedness of coursework or training.

39 (b) Evidence of having paid reimbursable fees (i.e., fee receipt)

40 (c) Evidence of successful completion of the coursework or training (i.e., grade report or certifica-
41 tion of completion)

42 The following section summarizes the policies which apply to faculty and academic staff.

43 Qualifying Coursework or Training - This is defined as coursework or training which provides skill
44 or knowledge that will improve an employee's job performance. This may include acquiring skills
45 and knowledge necessary for advancement to positions closely related to the current job or to ad-
46 vance to another job which is pertinent to the mission of the University. Coursework or training
47 undertaken at an employee's initiative for self-enrichment does not qualify.

48 Eligibility - Faculty and academic staff with half-time or greater appointments.

1 Amount of Coursework/Training Permitted - Normally, no more than one course, up to 5 credits,
2 or a training equivalent in any academic term, e.g., a semester, summer session, or an equiva-
3 lent. This standard may be exceeded by the Chancellor or his/her designee.

4 Reimbursement - The basic academic tuition will be reimbursed upon successful completion of
5 the training/coursework if still employed in state service. Segregated fees will be waived (upon
6 successful completion of the training/coursework if still employed in state service) if the course is
7 taken at UW Oshkosh or one of the UW-System comprehensives.

8 Coursework/Training Sources - (1) Intra-institutional, (2) Intra-System, (3) Agencies or institutions
9 outside the System.

10 Approval - A "Request for Fee/Tuition Reimbursement" *form* must be completed and approved by
11 the supervisor and unit head in advance of the commencement of such coursework or training.

12 (3) University of Wisconsin Oshkosh Policy and Procedures.

13 The System Policy stated above shall apply with these additional amplifying procedures applica-
14 ble to University of Wisconsin Oshkosh.

15 (a) Faculty or academic staff wishing to apply for fee/tuition reimbursement may obtain forms
16 from the Human Resources Office/website.

17 (b) Before enrolling in a course the applicant must obtain approval from the supervisor and unit
18 head or equivalent.

19 (c) It will be the employee's responsibility to furnish to the immediate supervisor and the Human
20 Resources Office official evidence that the coursework was completed satisfactorily. Satisfac-
21 torily will normally mean that a grade of "B" or above was earned in a graduate course, or "C"
22 or above in an undergraduate course.

23 The evidence (a completed "Request for Tuition/Fee Reimbursement" form, fee receipt, and
24 grade report or certification of completion) shall be presented to the Human Resources Office
25 for reimbursement. The cost will be charged to the department or unit unless a college or
26 other major unit has made other provisions for reimbursement.

27 (d) In the event more than one department or unit is involved, all supervisors will need to approve
28 the proposal, and the cost will be shared proportionately unless other arrangements have
29 been made.

30 (e) In the event a department elects to recommend only a portion of the tuition be reimbursed,
31 that amount will be recorded on the form and the individual so informed. The individual will
32 then decide if he/she still wishes the form to be processed.

33 **GEN 3.B.17. Graduate Course Enrollment.**

34 Faculty and academic staff may enroll in graduate courses for credit or audit and should use the enroll-
35 ment procedure for registering students.

36 Faculty and instructional academic staff cannot be admitted to graduate degree programs offered by the
37 department or division related to their teaching appointment. This policy is intended to prohibit the earning
38 of a University of Wisconsin Oshkosh master's degree within a given department only and is not intended
39 to discourage the professional development of the University of Wisconsin Oshkosh faculty and staff. The
40 University of Wisconsin Oshkosh faculty and academic staff members may apply to graduate degree pro-
41 grams outside of the areas of their teaching assignments and should use the admission procedures for
42 degree-seeking students.

43 **GEN 3.B.18.A. Use of University Facilities.**

44 **UWS 21 {Use of University Facilities} of the *Wisconsin Administrative Code*, Rules of the Board of**
45 **Regents.**

46 **UWS 21.01 Declaration of policy.**

47 It is the policy of the board of regents that the facilities of the university are to be used primarily for pur-
48 poses of fulfilling the university's missions of teaching, research and public service. University facilities are
49 not available for unrestricted use for other purposes. In order to preserve and enhance the primary func-

1 tions of university facilities, the Board of Regents adopts this chapter to govern the use of university facili-
2 ties.

3 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

4 **UWS 21.02 Definitions.**

5 In this chapter:

- 6 (1) "Board of Regents" or "board" has the meaning given under s. UWS 1.02.
- 7 (2) "Chancellor" means the chief executive officer of a university, the university of Wisconsin centers,
8 or the university extension.
- 9 (3) "Facilities" or "university facilities" means the publicly owned or leased buildings and grounds
10 which are subject to the custody and control of the board.
- 11 (4) "Institution" has the meaning given under s. UWS 1.06.
- 12 (5) "Organization associated with an institution" means that an organization is an officially recognized
13 staff or student group, or an administrative or academic unit, or a state agency.
- 14 (6) "Staff" means all employees of the University of Wisconsin System.
- 15 (7) "Student" means any person who is registered for study in an institution of the University of Wis-
16 consin System for the current academic period.
- 17 (8) "University" has the meaning given under s. UWS 1.07.

18 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

19 **UWS 21.03 Use of Facilities by Organizations Associated with an Institution.**

- 20 (1) The Chancellor of each institution, or his or her designee, shall permit organizations associated
21 with that institution to use university facilities for events for staff and students, if he or she deter-
22 mines that:
 - 23 (a) The proposed use will not interfere with or detract from the teaching, research and public ser-
24 vice missions of the institution;
 - 25 (b) The institution has appropriate facilities available for the proposed use; and
 - 26 (c) The organization has complied with institutional procedures adopted under s. UWS 21.06.
- 27 (2) The Chancellor of each institution, or his or her designee, may permit organizations associated
28 with that institution to use university facilities for public events if he or she determines that:
 - 29 (a) The proposed use will not interfere with or detract from the teaching, research and public ser-
30 vice missions of the institution;
 - 31 (b) The institution has appropriate facilities available for the proposed use; and
 - 32 (c) The organization has complied with institutional procedures adopted under s. UWS 21.06.
- 33 (3) The organizations using university facilities under this section may be required to reimburse the
34 institution for the costs, if any, incident to the use of the facilities.
- 35 (4) Organizations using university facilities under this section may be required to pay rental charges
36 for use of the facilities if the use is revenue producing.

37 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

38 **UWS 21.04 Use of Facilities by Persons or Organizations Not Associated with an Institution.**

- 39 (1) The Chancellor of each institution, or his or her designee, may permit persons, or organizations
40 not associated with that institution, to use university facilities at his or her institution if he or she
41 determines that:
 - 42 (a) The proposed use is under the sponsorship or at the invitation of an organization associated
43 with the institution;

- 1 (b) The proposed use will not interfere with or detract from the teaching, research and public ser-
2 vice missions of the institution, or the use of the facilities by organizations associated with the
3 institution;
- 4 (c) The institution has appropriate facilities available for the proposed use; and
- 5 (d) The person or organization has complied with institutional procedures adopted under s. UWS
6 21.06.

- 7 (2) Persons or organizations using university facilities under this section must reimburse the institu-
8 tions for the costs, if any, incident to the use of the facilities.
- 9 (3) Persons or organizations using university facilities under this section may be required to pay ren-
10 tal charges for use of facilities if the use is revenue producing.

11 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

12 **UWS 21.05 Access to Public Events Held at University Facilities.**

- 13 (1) It is the policy of the board to ensure maximum access to public events held in university facilities,
14 consistent with the legally recognized rights and interests of performers, lecturers, artists and
15 speakers.
- 16 (2) Where a person or organization has secured the use of university facilities for a public event, any
17 contemplated restriction or condition on access to the event must be made known prior to the
18 event, and must be embodied in a written agreement with the institution, which agreement shall
19 be open to public inspection. However, such agreements may not deny or restrict access to uni-
20 versity facilities in a manner contrary to other applicable laws or regulations or on any basis pro-
21 hibited by law.

22 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

23 **UWS 21.06 Institutional Procedures.**

24 The Chancellor of each institution, in consultation with appropriate staff and students, shall develop pro-
25 cedures for the administration of this chapter which shall, at a minimum, include the following:

- 26 (1) Procedures for securing permission to use university facilities;
- 27 (2) A schedule of the costs and rental fees, if any, assessed for the use of facilities; and
- 28 (3) A description of any institutional limitations concerning the time of availability and manner of the
29 use of institutional facilities.

30 History: Cr. Register, December, 1986, No. 372, eff. 1-1-87.

31 **GEN 3.B.18.B. Use of University Facilities for Purposes Other Than Carrying Out University Re-**
32 **responsibilities.**

33 Definition: University facilities shall include all land, buildings, property, vehicles, equipment, material and
34 supplies owned by, assigned to, or under the jurisdiction of the University of Wisconsin Oshkosh.

- 35 (1) Use of University facilities for personal purposes: University facilities, equipment and supplies
36 shall not ordinarily be used by the faculty for purposes other than carrying out University respon-
37 sibilities. If for any reason an employee deems it essential to use such facilities for personal activi-
38 ties, appropriate arrangements shall be made with University authorities (chairperson, Dean,
39 Provost and Vice Chancellor, Chancellor or appropriate administrative office).
- 40 (2) Use of University facilities for commercial purposes: University facilities shall not be used by em-
41 ployees for outside activities of a commercial character without previous arrangements with the
42 appropriate University authorities (chairperson, Dean, Provost and Vice Chancellor, or Chancel-
43 lor). Anyone who serves as advisor or consultant, or in any other capacity, with a public or private
44 agency for additional compensation may use University facilities for such activity only with ad-
45 vance authorization from the Dean or Chancellor; for occasional and non-consumptive use of
46 equipment (e.g., microscopes), authorization may be granted by the appropriate department
47 chairperson.

48 If a part of an employee's workload has been transferred to another state agency, pursuant to Section

1 230.047 and Section 20.901, Wis. Stats., and the employee's assignment with this agency requires use of
2 University facilities, the employee must request of the Dean or Chancellor, in advance of his/her assign-
3 ment, permission to use University facilities.

4 **GEN 3.B.19. Emeritus Status.**

5 (1) Granting of Emeritus Status

6 (a) Faculty: Emeritus status may be granted to retired faculty upon the recommendation of the
7 department, Dean, and Provost and approval of the Chancellor. Instructor, Assistant Profes-
8 sor, Associate Professor, or Professor Emeritus status will be granted corresponding to the
9 faculty rank at retirement. Normal criteria for emeritus status will be:

- 10 1. Permanent employment with UW Oshkosh and eligibility to activate annuities for the Wis-
11 consin Retirement System.
- 12 2. Tenured status at the UW Oshkosh and at least 10 years service within the UW System.
- 13 3. A record of distinguished service, and the expectation of continued contributions to the
14 discipline and the University.

15 (b) Academic Staff: Emeritus status may be granted to retired academic staff upon the recom-
16 mendation of the department and Dean, or the administrative unit administrator, Provost, and
17 approval of the Chancellor. Normal criteria for emeritus status will be:

- 18 1. Permanent employment with UW Oshkosh and eligibility to activate annuities for the Wis-
19 consin Retirement System.
- 20 2. Ten years of service in collegiate education. Emeritus status may be considered for oth-
21 ers upon recommendation of the Dean or area administrator for outstanding service.
- 22 3. A record of distinguished service, and the expectation of continued contributions to the
23 University.

24 (2) A list of the privileges associated with Emeritus status will be made available to employees
25 through the provost's page on the university's web site (<http://www.uwosh.edu/provost/>) and other
26 appropriate means.

27 (3) Responsibilities of Emeritus Status

28 (a) Emeritus faculty and academic staff must comply with appropriate State, UW System, and
29 UW Oshkosh rules, including those governing the use of University facilities and conduct on
30 University property.

31 (b) When emeritus faculty and academic staff identify themselves as members of the University
32 community, they shall act within their area of professional competence and consider the po-
33 tential impact of their actions on the reputation and welfare of the University.

34 Emeritus faculty and academic staff status may be revoked at the discretion of the Chancellor.

35 **GEN 3.B.20 Transitional Return to Work**

36 The University of Wisconsin Oshkosh will maintain the dignity of all employees while effectively managing
37 worker's compensation losses and costs. The University will employ strategies to manage situations
38 where employees are injured on the job. This Transitional Return to Work (TRTW) policy addresses
39 bringing employees utilizing worker's compensation back to work as early as the employee is able and,
40 whenever feasible and appropriate, returning non-work related ill or injured employees as soon as the
41 employee is able.
42

43
44 In the case of an employee who is utilizing worker's compensation or returning from a non-work related
45 illness or injury and is able to return to work with restrictions as outlined by a healthcare professional, a
46 case management team will review the request to return to work and determine if reasonable accommo-
47 dations can be made. The case management team shall be comprised of the UW Oshkosh Worker's
48 Compensation Coordinator, a human resources representative, the supervisor of the employee returning
49 to work, and if necessary, a UW System Worker's Compensation Claim Examiner. When necessary, the
50 team will also include the Environmental Health and Safety Manager. In the event the restrictions as out-

1 lined by the healthcare professional have a duration of longer than three months, the Director of Equity &
2 Affirmative Action, in the role of ADA coordinator for employees, will be added to the case management
3 team. In determining if reasonable accommodation can be made, the case management team will, with
4 the employee's permission, consult with the employee's healthcare professional.

5
6 Using guidelines established in the Americans with Disabilities Act of 1990, the case management team
7 will review the employee's position description and the restrictions as outlined by a healthcare professional
8 and determine if a transitional return to work can be reasonably accommodated. In making this determi-
9 nation, the case management team will consider transitional duty for the employee in the following order:

- 10
11 (1) Return the employee to work with transitional duty within the employee's unit.
- 12 (2) Return the employee to work with transitional duty within the employee's division of the Uni-
13 versity.
- 14 (3) Return the employee to work with transitional duty within the University.

15
16 If reasonable accommodation is not possible in the three alternatives listed above and this is a worker's
17 compensation case, the UW System Worker's Compensation Claim Examiner will attempt to accommo-
18 date the employee through the State of Wisconsin Injured Worker Program. If the employee is placed into
19 transitional duty in an area outside their employing unit, the employing unit shall be responsible for the
20 employee's wages.

21
22 Upon an employee's return to work on transitional duty, the employee and their supervisor(s) shall sign a
23 Transitional Return to Work Agreement. The agreement shall indicate this is a temporary assignment and
24 shall specify a date upon which the agreement will end.

25
26 Employees with permanent disabilities shall follow the procedures as outlined in GEN 1.2.(2). Disability
27 Accommodation Policy and Procedures.

28