



All UWS Institutions Communication Plan and Escalation Process for Outside Activities Reporting

Instructions: The following is a proposed timeline for completion of the Report of Outside Activities and Interests for Faculty, Academic Staff and Limited Appointees with half-time appointments or more. The process outlines a series of notifications with sample language institutions may use as a guide to communicate with employees and an escalation process to ensure compliance and accountability.

I. SAMPLE COMMUNICATION PLAN

Date	Process	Owner	Notes
Between March 1 - 15	First Notification: All employees required to complete the form: Continuing faculty, academic staff and limited appointees notified of the requirement and annual due date of April 30.	Human Resources* or designee	Memorandum with forms attached.
Between April 1 - 15	Second Notification: ONLY to employees who haven't completed forms. This notification should be sent 30 days after the first notification.	Human Resources* or designee	Complete the form as soon as possible.
April 20th	Third Notification: ONLY to employees who haven't completed forms. <i>Employee has not completed OAR.</i>	Human Resources* or designee Supervisor	Complete the form as soon as possible.
<i>(On or about)</i> April 25th	Escalation #1: Written notification to employee, immediate supervisor, and chancellor. <i>Employee has not completed and will be non-compliant if not completed by April 30th.</i>	Human Resources* or designee Supervisor	Employee must complete the form within 5 days.



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May 1st	<p>Escalation #2: HR documents employee’s non-compliance with note to file and the employee’s performance rating is adversely affected. Written notification states that <i>“Non-compliance with the reporting requirement has placed the employee “not-in-good standing” status.</i> Appeals may be made to Chancellor after the requirement is met. When an employee is not in good standing with an ethics requirement, s/he is not eligible for any base, lump sum or pay plan salary adjustments. (Extenuating circumstances or leaves of absences will be taken into consideration.)</p>	Supervisor Chancellor Human Resources	Letter to file.
May 15th	<p>Supervisors complete the review of late OAR forms and/ or perform due diligence on OAR forms with potential conflicts of interest</p>	Supervisor/ Designee	

**Human Resources is not the designated owner at every UWS institution.*

II. NOTIFICATION AND ESCALATION PROCESS

In order to ensure accountability and compliance, a notification and escalation process is recommended. If the employee fails to complete the OAR on or about April 25, 2020 the employee’s supervisor and the Chancellor are notified through the first escalation. The escalation occurs if no action is taken by the employee.