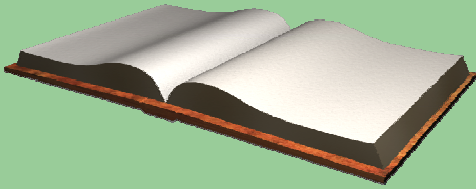


ADDITIONAL RESOURCES



Confidential Records Breach: If you become aware of any inadvertent or intentional breach of confidentiality or release of UWM records, contact:

- UWM's Chief Information Officer, Bruce Maas (bmaas@uwm.edu), if the breach involved electronic records.
- Director of Internal Audit Paul Rediske (pwr@uwm.edu) for all other records.

Reporting Misuse of University Resources: If you are aware of a situation involving misuse of university resources or other potential ethical violations, you may report this activity confidentially to the Department of Internal Audit (pwr@uwm.edu), which may investigate the matter or refer it to other campus authorities, as appropriate.

Applicable Rules:

- **Ethics Code for Classified Employees:** ER-MRS 24, Wis. Admin. Code
- **Ethics Code for Unclassified Employees:** UWS 8, Wis. Admin. Code
- **Ethics Code for State Public Officials:** Wis. Stat. § 19.45.

UW-MILWAUKEE

Internal Audit
Engelmann 188

414-229-5586
414-229-6539



Legal Affairs
Chapman 380

414-229-4278
414-229-3919

NEW EMPLOYEE ISSUES BRIEFING

***ETHICS
*CONFIDENTIALITY & SECURITY OF
RECORDS**



UW-MILWAUKEE



Presented by:
**Internal Audit
&
Legal Affairs**

Professionals Facilitating Your Success

New Employee Issues Briefing: Internal Audit & Legal Affairs



EMPLOYEE ETHICS

Because UWM is an agency of the State of Wisconsin, UWM employees are bound by certain ethical rules that apply to all state employees. Here are tips new employees should follow to avoid potential ethical violations:

Accepting Items of Value: Don't accept items of any value from a person or organization as a result of your employment at UWM. This includes food, drink, entertainment and anything else that creates the *appearance* that your official conduct may be influenced by the gift. This means:

▶ **Meals and Entertainment.** Don't accept lunch, other meals, or entertainment (e.g. golf outings) from UWM vendors or prospective vendors, even if it is intended to aid you in discussing UWM business. If a meal or event is appropriate, it should be paid for by UWM through a Travel Expense Reimbursement form. An exception is for a working meeting held onsite, where food is provided to allow the meeting to continue past meal hours.

▶ **Gifts and Gift Baskets.** Don't accept gifts, including birthday gifts, gift baskets, gift certificates, etc. While these gifts may be common marketing tools in corporate business, they create the wrong impression within a state agency. If a gift arrives, talk to your supervisor about gently declining the gift or asking the vendor to send it to a charitable organization.

▶ **Education and Travel.** In many cases, UWM employees may not accept vendor-paid travel, even when it is of benefit to the department. Vendor-paid travel should only be accepted by an employee after the situation has been reviewed and approved by the dean or division head.

▶ **Items of Minimal Value.** Items of minimal value only (e.g. pencils, cups, etc.) are not prohibited. Keep an eye on the appearance, however, of using a vendor-provided marketing item while at work.

▶ **Your Family.** The same rule regarding acceptance of items of value applies to members of your immediate family or household, if they receive the item as a result of your employment with UWM.

▶ **Personal Relationships.** If you have a personal relationship with someone who is doing business with your department, disclose that relationship to your supervisor so that actions can be taken to minimize or remove any potential conflict of interest.

▶ **Outside Consulting.** If you are an unclassified employee and you have an opportunity to do consulting or other work for an outside organization, in an area related to your area of expertise at UWM, you should discuss the opportunity with your dean or director to ensure that no conflict of interest will be created. Refer to UWS 8 for the applicable standards and procedures.

Use of University Resources: University resources such as office supplies, cell phones, meeting rooms, and work time should be used only for university purposes. Phone and email may be used for minimal personal use consistent with university policies. Never use UWM resources, including email and telephone, for outside work.

Signature Authority on Contracts: Only certain individuals on campus, designated by name, have the authority to legally bind UWM in contracts or agreements. Do not sign a contract with an outside company unless you have received a letter giving you delegated permission to do so.



Questions about Ethics: When in doubt about any ethical issue, talk to your supervisor. If your supervisor is unaware of the rules or has questions, he or she should contact the Department of Internal Audit (pwr@uwm.edu) or the Office of Legal Affairs (candres@uwm.edu) to request an opinion or interpretation regarding any particular situation.



CONFIDENTIALITY AND SECURITY OF RECORDS

Generally, any document you receive or create while working at UWM is a state record and

must be maintained and cared for properly. Some basic tips for handling UWM records are:

▶ Don't take home UWM records, especially originals, without receiving permission in advance from your supervisor.

▶ Your own personal notes are generally exempted from state records requirements. However, you should still take care with personal notes that contain sensitive or confidential information.

▶ Don't use your work access to UWM records for personal purposes. Use UWM information or records ONLY to perform your job.

▶ Many UWM records are covered by laws or policies requiring confidentiality. For example, student records, certain employee records including home contact information and medical information, patient records, and social security numbers and other financial information are all confidential under the law. Ask your supervisor about any confidentiality laws or policies that impact your job duties.

▶ UWM records may be discarded or destroyed only as allowed by law. Many UWM records are subject to a retention schedule, which is maintained by the UWM Archives Department. Do not discard or destroy records unless permitted by the retention schedule. Be sure that any documents containing confidential information are properly destroyed, for example, shredded.

▶ If a member of the public requests a copy of a UWM record, refer that requestor to UWM's Public Records Custodian (awatson@uwm.edu).