

UIC POLICIES AND PROCEDURES

NUMBER
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| ISSUED BY Assistant Vice President of Human Resources | APPROVED BY Chancellor | |

PURPOSE

To set out the procedure by which an employee of the campus is obligated to file a Statement of Economic Interests to be in compliance with the Illinois Governmental Ethics Act.

SOURCES AND BACKGROUND

Illinois Governmental Ethics Act

APPLICABILITY

Individuals who are employed in positions that meet the criteria for filing a Statement of Economic Interests as defined in the Illinois Governmental Ethics Act.

POLICY

Each year, the University of Illinois is required to identify individuals who are employed in positions that meet the criteria for filing a Statement of Economic Interests in compliance with the State of Illinois Governmental Ethics Act.

The criteria that apply to University of Illinois employees can be found in the Illinois Governmental Ethics Act:

1. Persons who are or who function as the head of a department or other administrative unit;
2. who have supervisory authority over or direct responsibility for the formulation, negotiation, issuance or execution of contracts entered into by the State in the amount of \$5,000 or more;
3. who are a Principal Investigator (PI) or Co-PI on a grant; or
4. who have supervisory responsibility for 20 or more employees.

The names of all employees whose responsibilities may be expected to include one or more of the above criteria are certified to the Office of the Secretary of State by the University by February 1 each year based on determinations made by the UIC Human Resources Department in consultation with employing units.

All personnel required to comply with the Illinois Ethics Act must file a statement with the Secretary of State by May 1 each year or face substantial penalties, which are contained in Section 4A-405 of the Act. Failure to file by May 31 may result in forfeiture of the position of employment.

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PROCEDURES

RESPONSIBILITY

1. Human Resources
2. College/Unit HR Contacts
3. Department/Unit Head
4. Human Resources
5. University Ethics Office
6. Secretary of State

ACTION

Identifies and provides a list of employees to college and major administrative unit HR contacts by college and major administrative unit that meet criteria for filing an annual Statement of Economic Interests.

Distribute lists as needed for departmental review.

Reviews lists and adds position coding in Banner for academic employees who are missing from the list if those employees function as the head of a department or other administrative unit or who supervise 20 or more employees. Removes position coding in Banner for academic employees who are on the list but who are not acting as the head of a department or administrative unit or who do not supervise 20 or more employees if they appear on the list for those reasons. Forwards corrections to civil service and extra help positions to Human Resources.

Makes corrections to civil service and extra help positions. Notifies the University Ethics Office when all necessary updates have been completed.

Compiles the list of University employees required to complete an annual Statement of Economic Interests and provides the list to the Office of the Secretary of State.

Sends Statement of Economic Interests forms to certified employees for filing.

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7. Employee

Submits Statement of Economic Interests to the Secretary of State.