

# Chapter 9: Faculty as Representatives of the University/Service

## 9.A General Principles

In conjunction with teaching, scholarship, and research, faculty participation in service activities within and outside the University constitute the core responsibilities of a public university. Service to community groups, and to local, state, national, and international governmental groups, not only provides these organizations with faculty expertise but also helps to fulfill the University's mission of service to the people of Michigan and the world.

Faculty service on appropriate unit and University committees and participation in administrative tasks are essential to the effective functioning of the University (see handbook [Chapter 4 "Faculty Roles in Governance"](#)), as is the mentoring of junior faculty colleagues. Leadership of professional organizations and participation in other professional activities such as reviewing works submitted to professional journals or conferences are also important to the mission of the University, as well as to the advancement of one's profession or discipline.

The University takes great pride in the various service activities of its faculty and supports and encourages participation. Faculty should check with their dean, director, or chair about that unit's policies concerning the evaluation of service activities as part of reviews for merit salary increases and tenure and promotion.

Because the University places a high value on its internal and external relations, offices exist centrally and within many of the schools and colleges to help faculty work with news media; community groups; local, state, and federal policy makers; and prospective donors. For example, U-M News Service consults with faculty about media relations and is equipped to provide portrait photographs and biographical data about faculty members to news media, as well as press releases about accomplishments in faculty research. See handbook sections [9.C "Communications and Media Relations,"](#) and [9.D "Faculty Statements."](#)

Another important resource is the [Michigan Outreach website](#), which features hundreds of UM-sponsored research projects and other initiatives throughout the state of Michigan.

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## 9.B Government Relations

The Office of the Vice President for Government Relations represents the University to communities throughout the state and to local, state, and federal governments. The following offices and activities report to government relations:

Government relations: offices in Ann Arbor, Washington, D.C., and Lansing, as well as alumni contacts in state and federal legislatures. See section [9.F "Lobbying."](#)

Office of State Outreach: disseminates information about the University's statewide commitments and

seeks to enhance the University's presence and service to the state.

Community Relations: works with government, civic, and business leaders in Ann Arbor and Southeast Michigan to foster cooperation and positive town-gown relations.

For more information about these areas and their activities, visit the government relations' website at <[www.umich.edu/~govrel](http://www.umich.edu/~govrel)>.

The U-M Health System also has a government relations officer.

## 9.C Communications and Media Relations

### 9.C.1 Michigan News

Michigan News is an Ann Arbor campus news bureau and a source of information and advice about working effectively with the media. Information officers work with campus units to identify key stories and the most effective, creative ways to disseminate those stories to target audiences. Information officers also write press releases, respond to media requests, and provide media training to faculty and staff. Michigan News publishes *The University Record*, a faculty and staff newspaper published Mondays during the academic year (biweekly during the summer), and *Michigan Today* <<http://michigantoday.umich.edu/>>, a tabloid for Michigan alumni and friends. Michigan News also publishes the online *Record Update*, a companion publication to the *University Record*. Both feature news about and for faculty and staff. Combining original content and material posted to other campus and external Web sites, the *Record Update* is delivered daily via e-mail to all U-M current, permanent faculty and staff, as well as to others who subscribe.

Online editions of those publications and other resources, including links to faculty experts, U-M facts, background information about current events in higher education, and press releases can be found at the Michigan News website at <[www.umich.edu/news](http://www.umich.edu/news)>. See also section [21.S "Printing, Graphic Design, and Photography."](#)

Ann Arbor faculty are encouraged to contact the Michigan News with questions or for information about press releases, media calls, and broadcasting. On the UM-Dearborn campus, contact the Office of University Relations. UM-Flint faculty should contact UM-Flint's Office of University Relations. The Health System Public Relations Office handles similar responsibilities for the Medical Center. For more information, see section [9.C.2 "Health System Public Relations."](#)

### 9.C.2 Health System Public Relations

The Department of Public Relations and Marketing Communications at the University of Michigan Health System provides internal and external communications services for the Medical School faculty and staff, as well as the U-M Hospitals and Health Centers. Its staff includes media relations professionals, marketing, and marketing communications professionals.

Faculty with information they would like communicated, including articles to be published in peer-reviewed journals, research updates or breakthroughs, academic news and feature stories, can contact Health System Public Relations, website: <<http://prmc.med.umich.edu/>>.

## 9.D Faculty Statements

In some circumstances it may be important to clarify whether faculty members' statements represent official University policy or their own. For example, a faculty member running for public office or commenting as a citizen on public affairs would want to make it clear that the opinions expressed are personal and not offered as the official position or policy of the University of Michigan. On the other hand, a faculty member who has been asked by the Regents or the president to represent the University at academic ceremonies or other occasions would be authorized to speak on behalf of the institution within the parameters of the occasion.

When deciding about the appropriateness of commenting on a situation as a representative of the University, good sources of advice are faculty mentors, department chairs, deans, and staff in the Office of the Vice President for Government Relations at 763-5554 and the Office of the Vice President for Communications at 763-5800. See also section [9.G "Conflicts of Interest and Conflicts of Commitment."](#)

## 9.E Working Outside the University

When faculty members' outside work is for remuneration, certain regulations apply. All full-time faculty members must obtain approval from the appropriate University authority, usually the dean or director of the individual's academic unit, when contemplating employment during the academic year. The work should enhance the individual's performance as a teacher and scholar and/or be of a distinctively public nature. In all cases, outside employment must not detract from the performance of University duties or responsibilities and must not create a conflict of interest (bylaw [5.12](#) and SPG [201.65-0](#)). See also section [9.G "Conflicts of Interest and Conflicts of Commitment."](#)

All of the schools and colleges have developed policies about the amount of time that a full-time regular faculty member may devote to outside remunerated services of a professional nature, including paid teaching, consultation, and other professional activities. None of these policies permit more than four days per month; some permit less. Occasionally, an individual may be permitted more extensive outside activity by arranging for an appropriate reduction in his or her regular appointment. See section [6.1 "Partial Appointments."](#)

Occasionally, the University may enter into agreements with agencies of the federal government allowing the temporary assignment of University faculty or staff members to roles in those agencies or for assignment of federal employees to roles within the University. These assignments are of a specified duration and made with the consent of the staff members involved. See section [16.B.3 "Intergovernmental Leaves."](#)

Candidates or appointees to public office are asked to notify the vice president and secretary of the university of their candidacy or appointment and to file with the vice president and secretary a statement from the appropriate supervisor indicating that arrangements have been made so that the candidacy or appointment will not interfere with the performance of University duties. Candidates also can seek an unpaid leave of absence for the period of the campaign or for the term of office (bylaw [5.13](#)).

## 9.F Lobbying

The University's government relations offices in Ann Arbor and Washington, D.C., are available to give guidance on lobbying and to help faculty and staff develop strategies for effective interactions with elected and appointed officials regarding legislation and policies affecting the University. Government relations also has an office in Lansing. Government relations staff appreciate being alerted to potential issues of institutional concern posed by pending legislation, regulations, or rule-making at the state and federal levels.

State law requires that persons lobbying with the state of Michigan be registered as lobbyists. Consequently, members of the U-M instructional, research, and administrative staff are not allowed to lobby or give the appearance of lobbying state officials for the purpose of furthering the interests of any individual or unit of the University of Michigan unless they are registered as lobbyists. However, the deans of schools and colleges, and directors of institutes, centers, and programs, may conduct negotiations with government bureaus or funding agencies as authorized by the appropriate vice president.

Whenever faculty and staff are communicating with legislators or other government officials at the state or federal level about personal problems or positions on issues, it is best to use personal stationery—not University of Michigan letterhead.

Federal law requires the U-M to submit lobbying disclosure reports four times per year. The reports contain information on all lobbying activities, including contacts in person, in writing, or by telephone with covered executive branch and legislative branch officials made on behalf of the University of Michigan regarding legislation; legislative proposals; rules and regulations; executive orders; programs, policies, or positions of the government; administration or execution of federal programs or policies (including federal contracts and grants); and nomination or confirmation of a person for a position subject to Senate confirmation.

Responding to a request for information or being asked by a member of Congress or a congressional committee to testify is not considered a lobbying activity. Faculty and staff who are invited by a governmental agency or officer to discuss pending legislation or policy relating to the University are encouraged to call upon government relations as a resource and, when appropriate, to notify the Office of the President.

For more information about lobbying, please visit [government relations website](#).

## 9.G Conflicts of Interest and Conflicts of Commitment

In a community as large and complex as the University, there is the possibility that faculty members pursuing individual interests could find their actions in conflict with those of the University. Because conflicts can arise in many different contexts, there are a number of sources of information about conflict of interest policies and regulations. These sources are listed at the end of this section.

As a general principle, the University's policy regarding conflict of interest is based on the premise that honesty and professional integrity are expected of all faculty and staff, and it would be a serious violation of this trust if the interests of the University were to be disregarded in the course of performing professional duties. Also inconsistent with University policy is the use of official position and influence

to further either personal gain or that of families or associates. As with other ethical questions, the responsibility to recognize potential conflicts and prevent them rests with individuals. Faculty and staff members with significant exposure to potential conflict of interest situations are encouraged to develop a sensitivity to this issue and to seek guidance when appropriate. For additional information about University policy statements regarding conflict of interest or advice about a particular situation, faculty on the Ann Arbor campus should contact the Office of the Vice President and General Counsel.

In 2005, the University revised its policy on conflicts of interest (COI) and conflicts of commitment (COC); see Standard Practice Guide [201.65-1](#). In accordance with this revised SPG, the schools, colleges, and administrative units developed implementation policies, which are available on the provost's office website [http://www.provost.umich.edu/programs/COI\\_COC/units.html](http://www.provost.umich.edu/programs/COI_COC/units.html). This set of policies includes a policy that applies to the executive officers and presidential direct reports.

In addition, Regents' bylaw 1.14 *Regental and Executive-Senior Officer Conflict of Interest Policy* provides access to supplemental procedures for handling potential conflicts of interest involving a member of the Board of Regents or the president.

The University's conflict of interest and conflict of commitment policies are part of the University's comprehensive compliance program. See section [7.C Norms, Policies, and Regulations Guiding Scholarship and Research](#) for an overview of this important University effort. For additional information, visit the [Conflict of Interest section](#) of the online [Compliance Resource Center](#).

## **Policies, Regulations, Statutes, and Procedures Concerning Employees' Outside Interests and Related Issues**

### **State Statute**

#### State of Michigan Statute (P.A. 317 of 1968)

The State of Michigan statute on avoidance of Conflict of Interest prevents University employees from contracting with the University, either individually or on behalf of external business entities in which the University employee has an interest, unless the terms of any such proposed contract are disclosed in full to the executive officers and approved in advance by a two-thirds vote of the Regents.

### **Regental Policies**

#### Regental Policy on Outside Employment

Conditions governing permissible outside employment of a full-time instructional faculty member, including external consulting, are set forth in bylaw [5.12](#). Each of the governing faculties of the University is authorized to formulate unit policies implementing the bylaw. See also SPG [201.65-0](#) and sections [9.E "Working Outside the University"](#) and [9.G "Conflicts of Interest and Conflicts of Commitment."](#)

#### Regental Policy on Governmental Activities

Bylaw [5.13](#) describes University policy regarding the holding of public office (either elective or appointive) by a University staff member.

#### Gifts to Regents, Officers and Faculty

Bylaw [2.16](#) reads in its entirety, "No individual Regent, officer, member of the faculty, or other employee shall accept a gift of substantial value from a student or students enrolled in the University, and no such person shall accept a gift of substantial value from any person having business relations with the

University.”

#### Regental and Executive/Senior Officer Conflict of Interest Policy

Bylaw [1.14](#) describes when a Regent or executive/ senior officer is considered to have a conflict of interest and the steps to be taken in that event. The bylaw is in addition to any obligations imposed on a Regent or executive/senior officer by state law.

#### Regents’ Policy Concerning Openness in Research Grants, Contracts and Agreements

The Regents’ policy, approved on April 17, 1987, establishes guidelines for the acceptability of restrictions on openness in research grants, contracts, and agreements. SPG [303.01](#) contains both the text of the Regents’ policy and the implementation guidelines for the policy.

#### Regents’ Policy on Intellectual Properties: Including Their Disclosure, Commercialization, and Distribution of Revenues from Royalties and Sale of Equity Interest

Bylaw [3.10](#) deals with the “Ownership of Patents, Copyrights, Computer Software, Property Rights, and Other.” This bylaw is amplified by a Regental policy that speaks to the objectives of the University’s technology transfer/intellectual property development activities. The policy deals with disclosure to the institution, options for commercialization, acceptable provisions in assignment and license agreements, and distribution of revenue from royalties or sale of equity interest. (SPG [303.04](#))

#### Regents’ Policy on Business Transactions

Bylaw [1.13](#) provides that as a general rule, Regents and University officers may not receive compensation from University funds for any business or professional activity except for board-approved compensation of officers.

### **SPGs**

#### University Policy on Work Outside the University

SPG [201.65-0](#) applies to all University employees. It allows work outside the University as long as this work does not detract from the individual’s performance of University duties and responsibilities or create a conflict of interest.

#### Appointment of Relatives or Others with Close Personal or External Business Relationships

SPG [201.23](#) contains University policy on appointment of individuals with close personal or external business relationships and procedures to assure equal opportunity and to avoid the possibility of favoritism.

#### Limitation on Days of Additional Compensated Activities Within the University

University policy states that appointment as a full-time staff member generally precludes other employment at the University. Compensation for full-time appointments will cover all responsibilities to the University, including teaching, research, administrative and supervisory duties or other professional activities.

Additional U-M compensation, which is paid on a special stipend, may be approved for only the services that a U-M faculty member provides that are clearly above and beyond services associated with the

faculty member's obligations. A dean or director normally should not approve special stipends for more than four days in any calendar month. Unusual circumstances justifying payments for more than four days should be explained (SPG [201.85](#)).

#### Policy Statement on the Integrity of Scholarship and Procedures for Investigating Allegations of Misconduct in the Pursuit of Scholarship and Research

The policy defines serious academic misconduct and establishes a procedure for investigating and reporting allegations of misconduct. Among the categories of serious academic misconduct are falsification of data, abuse of confidentiality, and dishonesty in publication (SPG [303.03](#)).

#### Purchasing Conflicts

It is the responsibility of each member of the University faculty and staff and of the Purchasing Department to assure that the University does not knowingly enter into a purchase commitment that could result in a conflict of interest situation (SPG [507.01](#)).

#### **Other University Policies**

##### Research Proposal Approval Form (PAF) Disclosure ("Negative Disclosures")

Every proposal for externally sponsored research requires an internal document called the Proposal Approval Form on which summary information about the proposal is collected. The form requires certain certifications and disclosures. It provides an opportunity for faculty investigators to provide certification that neither the proposed investigator on the sponsored project, nor his or her immediate family has a significant financial interest in the proposed research. PAF forms are available on the research website <[www.research.umich.edu](http://www.research.umich.edu)>, from ORSP, and from departmental offices.

##### Policy and Procedures for Dealing with Financial and Outside Management Conflicts of Interest in Sponsored Projects and Technology Transfer ("Positive Disclosures")

When a faculty researcher on a proposed research project or a member of his or her immediate family has a significant financial or management interest in a sponsored project, formal disclosures are required. Disclosures are reviewed by designated faculty committees for determination of whether a conflict of interest exists and, if so, whether the conflict of interest might be managed. The disclosure form and the policy are available on the research website <[www.research.umich.edu](http://www.research.umich.edu)>.

## **9.H Fundraising and Gifts to the University**

Michigan's tradition of academic excellence is sustained and strengthened by financial contributions from alumni and friends, corporations, foundations, and associations. This generous support is reflected in buildings, endowed chairs, programs, scholarships, and fellowships. Although the Regents have designated the Office of Development as the official University of Michigan entity responsible for directing, guiding, and coordinating development activities, fundraising at Michigan is best described as a partnership involving faculty members, deans, and executive officers who work with development professionals in the schools and colleges and in the Office of Development.

The U-M's institutional advancement program has four major components:

- principal gifts

- major gifts and planned giving
- corporate and foundation support
- annual giving

In addition, each school and college works to maximize volunteer and alumni involvement in the solicitation of gifts to support programs in that unit. Because the University strives to solicit the largest possible gift from each potential donor, central staff members help schools and colleges coordinate and time their requests. Faculty should keep in mind that solicitation of funds is permissible only with prior approval from the president or a delegated representative (typically the dean or school or college development officer) and that University resources may not be used for solicitation of funds without prior approval (bylaw [3.06](#)).

Gifts are transmitted to the University through several means. The most common is by cash or check made payable to the University of Michigan. Gifts also are received via appreciated marketable securities, real estate, or personal property (such as rare books and manuscripts or works of art). Specific requirements often pertain to non-cash gifts, and the University encourages donors to contact their attorney, tax counsel, or the Office of Development. Gifts of money or property are received through the Office of Development, departments, or the development offices in the schools and colleges. As part of the University's efforts to promote positive donor relations, the Gifts Processing Office in the Office of Development records and acknowledges all gifts (bylaw [3.05](#)).

Faculty members on the Ann Arbor campus who want more information about how they can participate most effectively in fundraising at U-M should contact the dean or development officer in their school or college or the central Office of Development (647-6000). UM-Dearborn and UM-Flint development offices work in coordination with the Ann Arbor office. Faculty on those campuses should contact their respective development offices: UM-Dearborn 313/593-5130; UM-Flint 810/762-3350.

## 9.I Product Endorsements

Faculty members, as experts in their field, may be asked to share their views on products and services. When giving professional opinions, faculty need to clarify that the opinions are their own and not the official views of the University. In keeping with the U-M's responsibility as a publicly supported institution, faculty and staff may not in their official U-M capacity or in the name of the University of Michigan endorse commercial products or services or advocate a specific commercial method or device.

Also see the [Endorsements section of the Identity Guidelines, Policies for Use](#).

## 9.J Questionnaires

Faculty members who have questions or concerns about filling out questionnaires that ask for U-M statistics should contact the Office of Budget and Planning, a part of the provost's office, at [obpcontact@umich.edu](mailto:obpcontact@umich.edu). For information about University policies, faculty members should contact the dean or director of their academic unit, the Office of the Vice President for Communications, or the Office of the Provost for assistance. Enrollment statistics, graduation rates, financial reports, and other statistical information are announced periodically, often at Regents' meetings or through press releases. Excellent sources of factual information about the University include *The University of Michigan Financial*



Report, < [www.finops.umich.edu/reporting](http://www.finops.umich.edu/reporting) > prepared by the Office of the Executive Vice President and Chief Financial Officer; and *The University of Michigan Profile*, a small booklet published by the Office of the Vice President for Communications that contains vital statistics about the University community (updated each year in April). Another excellent source of information is the News Service website at <[www.umich.edu/news](http://www.umich.edu/news)>.

## 9.K Use of University Equipment and Property

Faculty who hold regular appointments may use University equipment at off-campus locations whenever this will benefit the teaching, research, public service, or administrative activities of the University. Requests for off-campus use of equipment require the approval of the department head who is responsible for the equipment. See the departmental administrator for more information.

Similarly, faculty may use University facilities for University-related purposes, and in many instances, for private events. For information about the availability of and terms for using a particular facility, contact the facility and speak with the scheduler. In the case of an academic facility, contact the office of the dean or director of the academic unit with which the facility is associated. Faculty should be aware that use of University facilities for purposes of sales, solicitations, and fundraising requires prior written permission from the appropriate dean, director, department head, or building director. (Regents Ordinance of January, 1995, Article IX, Section 1) Other personal use of University property should be with appropriate prior authorization only. Use of University grounds (as opposed to buildings) for purposes of sales, solicitations, and fundraising requires prior written permission from the executive vice president and chief financial officer or designee (Regents Ordinance of January, 1995, Article IX, Section 2).

## 9.L Use of the University Seal, University Wordmark, Block M, and Other Logos

### University Seal

The University of Michigan Seal is generally reserved for presidential and Regental uses.

### University Wordmark

The U-M wordmark is the mark used on stationery, business cards, and letterhead. Units may also use the wordmark on other print materials such as brochures, newsletters, bulletins, and ads. The wordmark was designed for flexibility, and can be used with names of U-M schools, college, and units with no loss of brand identity.

### Block M

The Block M logo may be used for official University business without seeking approval for use. More information about usage of these University logos is available in a set of [Identity Guidelines](#) provided by the Office of the Vice President for Communications (see [Registered marks](#)). Also, for usage and required approvals, see the [Permissions Guide](#).

For all commercial use of logos on merchandise sold for profit, approval is required from the Trademark Licensing Department, [licensing@umich.edu](mailto:licensing@umich.edu).

## 9.M Compliance in Health Care

The compliance program at UMHS reflects its commitment to maintain the highest ethical standards and to comply with all applicable laws, policies, rules and regulations. Detailed information about UMHS's compliance program is available online. The website <[www.med.umich.edu/u/compliance](http://www.med.umich.edu/u/compliance)> provides detailed information about various areas of compliance at UMHS, including a compilation of the many laws, regulations, policies and procedures required of the U-M as a public institution and of the UMHS as a health care institution. The site also lists contact information for compliance officers, provides links to relevant policies and procedures, and describes educational requirements for members of the UMHS workforce.

Of particular importance for U-M health care providers are federal and state laws concerning false claims and false statements. Detailed information about these laws and related institutional policies designed to prevent and detect fraud, waste, and abuse is available on the website <[www.med.umich.edu/u/medlaw/fraud.htm](http://www.med.umich.edu/u/medlaw/fraud.htm)>. These laws prohibit the U-M from making false claims or false statements to secure federal or state support, require the U-M to educate its workforce to promote compliance, impose various monitoring and enforcement obligations, and provide protection to individuals who come forward to advise the U-M of problems.