

Assurance Argument
University of Toledo - OH

3/15/2016

2 - Integrity: Ethical and Responsible Conduct

The institution acts with integrity; its conduct is ethical and responsible.

2.A - Core Component 2.A

The institution operates with integrity in its financial, academic, personnel, and auxiliary functions; it establishes and follows policies and processes for fair and ethical behavior on the part of its governing board, administration, faculty, and staff.

Argument

The University of Toledo (UT) operates with integrity. The conduct of UT and its faculty, staff and administrators is ethical and responsible. A focus on integrity and ethics can be found in established institutional policies, practices and procedures. These can be found in the [University Policy Manuals](#), [the University Web Site](#) and established law.

The merger of the former UT and Medical University of Ohio into the current UT was established in [Ohio Revised Code Chapter 3364](#). Authority to govern the institution is granted to the Board of Trustees (BOT). The BOT operates under a [code of ethics](#) that expects Board members to “subordinate their personal interests to the interests of the whole Board and the institution and conform always to the highest ethical standards.” BOT members are required to undergo ethics training every other year as prescribed by the BOT Statement of Comportment and provided by the Ohio Ethics Commission.

As prescribed by [Board bylaw](#) the Board Finance and Audit Committee is charged with oversight and continuous improvement of the financial soundness of the University; a sample of the committee's report to the BOT is [here](#). Explicit in the function of the Finance and Audit Committee is reviewing [internal](#) and external audits and ensuring regulatory compliance with matters materially impacting University operations. The Trusteeship and Governance Committee ensures the integrity of the Board. As described in the bylaw, the committee “fosters a culture of excellence, service, and high ethical standards among University Trustees.” To ensure a process and procedure by which conflicts of interest are avoided, conflicts of interest are addressed through Board bylaw. [Article 6 of the Collective Bargaining Agreement](#) between the University and the AAUP, as well as the [Rules and Regulations for Faculty Not Bound by a Collective Bargaining Agreement](#), address conflicts of interest for faculty.

Budgetary and operational integrity is assured through the annual audit, including A-133, conducted by external auditors. The A-133 audit, required by the federal government of an entity expending more than \$750,000 in federal dollars annually, rigorously examines financial compliance components of an institution’s operations. Audited financial statements are publicly available for review on the [Controller’s website](#). The 2015 [independent auditor’s report by Plante & Moran, PLLC](#), validates UT’s responsible operations. The report states on page 12: “The University is positioning itself to address the formidable challenges it faces. The University has reduced administrative expenses over the last several years by managing resources more efficiently; establishing stronger budget and position controls; and implementing automation and re-engineering processes. The

University continues its pursuit of reducing expenses wherever possible while still maintaining critical functions in support of the student experience and its mission.”

Financial statements are prepared in accordance with the Governmental Accounting Standards Board.

A commitment to academic integrity and responsible conduct is evidenced by UT’s academic operations. Faculty maintains intellectual ownership of the curriculum, while the Office of the Provost operationalizes curriculum-tracking and development processes. The [curriculum-tracking tool](#) provides faculty and departments with a mechanism to create and modify the curriculum. Both the curriculum-tracking process and the curriculum-tracking tool reflect principles outlined in the [rules of the Faculty Senate](#). The [process](#) includes a review by the department, college, Faculty Senate or Graduate Council, Office of the Provost and the state of Ohio. Any UT constituent with valid University credentials can view curriculum modifications.

UT complies with required curriculum directives initiated by the Ohio Department of Higher Education, which are communicated to faculty, staff and students on the [Provost’s Office web page](#).

Academic and student life policies also provide evidence of a commitment to academic integrity. The [undergraduate academic dishonesty policy](#) states explicitly that the “University values responsible and ethical behavior in all academic endeavors.” In the policy, primary responsibility for academic integrity is assigned to the student: “students are responsible for knowing what constitutes academic dishonesty.” However, the policy recognizes the critical role of faculty by encouraging students to direct inquiries about academic dishonesty to their instructors, and provides guidance on what faculty is expected to do to discourage dishonesty. The policy also delineates recourse when violations are discovered. Student Orientation includes a module on academic dishonesty. UT also has a separate [academic dishonesty policy](#) for graduate students and requires the completion of an academic integrity module as part of the College of Graduate Studies [New Graduate Student Orientation](#). The [Student Code of Conduct](#) expressly prohibits cheating and plagiarism: In AY 2014-15, of the 16 cases of academic dishonesty, 8 were found responsible (see Federal Compliance table, page 5). UT strongly encourages faculty to include information regarding academic integrity and dishonesty on their syllabi; the [University Teaching Center syllabus template](#) and a syllabus review tool help faculty develop their syllabi, and provides guidance on policies — those required on each syllabus and those that may be included to educate students on academic dishonesty and academic integrity.

To operate responsibly and within relevant federal laws, UT must protect the confidentiality of student information. Primary responsibility for FERPA compliance lies with the University Registrar and the Office of the Registrar as outlined in the [policy on the confidentiality of student records](#). Students, faculty and staff are sent a FERPA notification each November. The Office of the Registrar provides [FERPA training documents](#) to the University community and provides recommendations to faculty and staff on confidentiality issues. Group and individual training on FERPA and FERPA-related issues is available to departments and individuals. FERPA training is mandatory for all new employees. UT has a [process](#) by which potential FERPA violations are reported and investigated.

The Office of Financial Planning, Analysis and Budget is responsible for the transparent development and implementation of the UT budget and budgeting procedures. Budget development guidelines are typically sent to each Vice President in January for the fiscal year starting in July. Budget blue books are publicly available on the [Office of Financial Planning, Analysis, and Budget web site](#). As prescribed by [Board bylaw](#), a recommendation for the budget is reviewed by the President and the Board’s Finance Committee and is [presented by the President to the Board of Trustees](#) for acceptance.

UT is an Equal Employment Opportunity institution. Faculty and staff searches are conducted in a fair and ethical manner and in accordance with relevant local, state and federal laws. The [Equal Opportunity Policy](#) expresses the University's commitment to recruitment and hiring "without regard to race, color, religion, sex, age, national origin, ancestry, sexual orientation, gender identity and expression, military or veteran status, the presence of a disability, genetic information, familial status, political affiliation and participation in protected activities." Staff hiring procedures require search committees to have representation from both sexes and minorities. Search committee members must undergo training through the [Office of Inclusion](#). The Office of Inclusion tracks and records training completion; approximately 76% of UT employees have completed the training. Additionally, Title IX training was made mandatory for faculty and Title IX staff in fall 2015.

The division of Equity, Diversity and Community Engagement (EDCE) provides diversity training to employees, and conducts this training for all new hires as part of orientation. As of Fall 2015, approximately 80% of UT employees had completed the EDCE diversity training.

The Human Resources and Talent Development Office maintain fair hiring records. UT is also currently undertaking a comprehensive compensation study to ensure non-discrimination.

Searches for faculty, staff and administrators are done in an ethical, responsible and transparent fashion. When in 2015 The University of Toledo hired its 17th President, the search process was made public and communicated through the UT web site. Progress was transparent, communicated widely and thoroughly documented on the presidential search web site. The [current search for a new provost](#) is being conducted in a similar manner.

Human resources policies for faculty and staff require ethical and responsible behavior among UT employees. The [standards of conduct policy](#) outlines the responsibility of supervisors and a process by which conduct standards violations should be reported. The [University policy on sexual harassment and other forms of harassment](#) defines harassment and prohibited conduct to maintain an environment of equity and respect. Title IX information is provided to the campus community on the University [web site](#). UT utilized a Title IX procedural review by an external consultant to establish new title IX compliance procedures and internal controls. Title IX compliance is coordinated at the Vice Presidential level and the University is currently searching for a full-time staff member responsible for Title IX reporting and compliance. Policies related to Title IX are cataloged in the University policy manuals as well as at a [single site maintained by the Office of Institutional Diversity](#). A consistent complaint process is in place, and the institution's commitment to Title IX compliance resulted in the termination of several people for policy violations. This is discussed further in Core Component 5.D.

Violations of laws, regulations, government contracts or grant requirements, or University policies may be reported anonymously using a [confidential reporting service](#). Complaints may also be registered with the appropriate offices using forms and procedures for faculty, staff and students. Collective bargaining agreements for faculty and classified staff detail the mechanism by which contractual violations and other grievances are reported and adjudicated.

Transparency and accessibility frame the University's ethical practices. As a state institution, UT abides by Ohio open records laws and Ohio public meetings laws. Policies for faculty, staff and students are developed transparently. The [policy on the formulation and issuance of policies](#) details the University's commitment to "governance by clear concise policies," with draft policies communicated publicly on the [University Policy website](#). Faculty, staff, administrators, students, other University stakeholders and members of the general public may comment on draft policies for 30 days after the draft is posted. The Board of Trustees' deliberations are publicly available through

agendas and meeting minutes on the [BOT website](#); most meetings are open to the public. Faculty deliberations are available through the meeting minutes/agendas on the [Faculty Senate website](#) and the [Graduate Council website](#), both open to the public.

Sources

- BOT Agendas and Minutes website
- BOT Bylaw 3364_1_08 Annual Budget Plan
- BOT Bylaw 3364-01-03 Committees of the Board
- BOT Bylaw 3364-01-03 Committees of the Board (page number 2)
- BOT Minutes 11-17-2014
- BOT Minutes 11-17-2014 (page number 5)
- BOT Minutes 6-15-2015 budget approval
- BOT Minutes 6-15-2015 budget approval (page number 7)
- BOT Preamble 5-14-2012
- BOT Statement of Board Comportment 5-14-2012
- Collective Bargaining Agreement CBA-Tenured Tenure Track
- Collective Bargaining Agreement CBA-Tenured Tenure Track (page number 8)
- Collective Bargaining Agreement CBA-Tenured Tenure Track (page number 16)
- Confidential reporting service-violations
- Curriculum Approval Process Workflow - Undergraduate and Graduate
- Curriculum Tracking System (CTS) with sample screen prints of curriculum approval
- Faculty Rules and Regulations for Faculty not bound by a Collective Bargaining Agreement
- Faculty Rules and Regulations for Faculty not bound by a Collective Bargaining Agreement (page number 5)
- Faculty Senate Constitution-Appendix and Rules
- Faculty Senate Constitution-Appendix and Rules (page number 15)
- Faculty Senate Website
- FERPA - Powerpoint Presentation Office of the University Registrar
- FERPA Office of the University Registrar
- Graduate Council Website
- Graduate Student Orientation - Academic Integrity
- Internal Audit Update Presentations
- Office of Budget and Planning-blue books
- Office of Inclusion-Training and Education
- Office of the Controller - Master List of Audited Financial Statements
- Ohio Revised Code 3364.01
- Provost Office website
- Provost Search website
- Syllabus Template University Teaching Center
- Title IX website
- UT Annual Financial Report 2015
- UT Annual Financial Report 2015 (page number 17)
- UT Board of Trustees Code of Ethics
- UT Policy no. 3364_25_01 Standards of Conduct
- UT Policy no. 3364_50_01 Title IX Draft
- UT Policy no. 3364_77_01-1 Graduate student academic dishonesty
- UT Policy no. 3364-10-01 Formulation and issuance of policies
- UT Policy no. 3364-50-02 Nondiscrimination

- UT Policy no. 3364-70-04 Student Code of Conduct
- UT Policy no. 3364-71-04 Academic Dishonesty - Undergraduates
- UT Policy no. 3364-71-15 Confidentiality of student records
- UT Policy Website

2.B - Core Component 2.B

The institution presents itself clearly and completely to its students and to the public with regard to its programs, requirements, faculty and staff, costs to students, control, and accreditation relationships.

Argument

The University [website](#) is the primary source for all University information. Ruffalo Noel Levitz is working on the website to enhance clarity. Admissions requirements are clearly articulated to prospective students on the [Office of Undergraduate Admissions](#) web site and the [College of Graduate Studies](#) web site. Requirements for admissions are also available on individual college web sites when applicable. Academic information and program requirements are articulated through the [University catalog](#). The University is planning to purchase software to streamline development and tracking of online catalog changes. Following a review of such a tool by a diverse group of faculty and staff, a request for vendor proposals was issued on October 19, 2015 with due date of November 6, 2015. A University committee representing broad interests began reviewing requests on December 7, 2015. The Office of the Provost is working on budgetary adjustments to accommodate the increased costs and plans to build them into its next budget.

Each academic program is required to articulate transparently its program and degree requirements, to which students are held based on the catalog year in which they matriculate to a program. In addition to individual college catalogs, colleges may publish academic requirements on their web pages. For instance, the [College of Business and Innovation](#) dedicates a large portion of its website to degree and curricular requirements.

Degree requirements are also available to undergraduate students through the use of a computerized degree audit report. Each student is able to run his/her own degree audit report through the myUT portal. Degree audits are available on demand and students do not need to consult with an adviser to run them. However, academic advisers in each college can provide assistance to individual students. Graduate students submit their Plan of Study to the College of Graduate Studies (COGS) after completion of 12 graduate credit hours, and their academic progress is tracked by their graduate adviser as well as COGS (GPA status and degree completion.)

As the primary source of institutional reports and data, the Office of Institutional Research ensures that its website provides [clear, easily accessible and accurate information](#) about UT. Internal stakeholders and the general public can locate information regarding enrollment, course completion rates, retention and graduation rates, and other institutional characteristics. Institutional data reports contain detailed enrollment and financial information; this data is published and posted for public consumption. Internal stakeholders (deans and department chairs) have access to institutional data through the Web Report Library, the Banner Operational Data Store and newly developed dashboards created in the ARGOS reporting tool developed by Institutional Research and Information Technology.

Tuition and fees for students are clearly presented on the Office of the Treasurer website as [Finance brochures](#), published each year after tuition, fees and fee policies are approved by the Board of Trustees; they remain available publicly. Estimated education expenses are clearly indicated on the [Office of Undergraduate Admissions](#) website, with an interactive net price calculator prominently displayed on the [Office of Financial Aid](#)'s website. Minimum scholarship requirements and award

levels appear prominently on the [Office of Undergraduate Admissions](#) web page. Scholarship terms and details are displayed publicly with detailed information on how scholarships are awarded and maintained.

Registration information is maintained by the Office of the Registrar, with important registration dates communicated on the [Office website](#). Prior to each semester, the Office of the Registrar communicates these dates to students to provide information impacting student accounts and bills. Two years ago UT increased transparency for students by placing transfer credit information and processes related to students and their courses in one place on the Office of the Registrar's website.

Local community college students can now review the transferability of courses and the applicability to many of UT's programs of study. This minimizes confusion during the transfer process and helps make transparent the transferability of two-year programs to four-year programs. Meetings between UT and community college department chairs facilitated communication between the schools regarding curriculum and student success.

Accreditation information is displayed prominently on the University web page. The [Office of Assessment, Accreditation, and Program Review website](#) catalogs accreditation information, including individual program accreditations and endorsements. This web page prominently displays University accreditation information and UT's current status with the HLC. A public website dedicated to the current University accreditation process includes an [FAQ](#) section.

[Colleges and programs with individual accreditations](#) display them prominently and clearly on their websites. The [College of Medicine and Life Sciences](#) is one example, while the [College of Law](#) displays its accreditation status on the web and reports all of the American Bar Association [required disclosures in one location](#).

Sources

- Accreditation 2016 - FAQ page
- Accredited Programs and Endorsements-List
- Admission Guidelines - COGS website
- Admissions Standards - UG website
- COBI Website Majors & Sample Plans of Study
- College of Law - ABA
- College of Law - ABA Required Disclosures
- College of Medicine Accreditation
- Finance Brochure 2015-2016
- Office of Assessment, Accreditation and Program Review website
- Office of Financial Aid website
- Office of Institutional Research Report Library
- Office of the Registrar website
- Scholarships website - UG
- UT Catalog 2015-2016
- UT Tuition and Fees website
- UT website-home page

2.C - Core Component 2.C

The governing board of the institution is sufficiently autonomous to make decisions in the best interest of the institution and to assure its integrity.

1. The governing board's deliberations reflect priorities to preserve and enhance the institution.
2. The governing board reviews and considers the reasonable and relevant interests of the institution's internal and external constituencies during its decision-making deliberations.
3. The governing board preserves its independence from undue influence on the part of donors, elected officials, ownership interests or other external parties when such influence would not be in the best interest of the institution.
4. The governing board delegates day-to-day management of the institution to the administration and expects the faculty to oversee academic matters.

Argument

Under Ohio Revised Code, UT is governed by a Board of Trustees currently consisting of eight voting members, each serving a term of nine years, and two non-voting members selected from the student body, each serving a term of two years. The Ohio Governor appoints voting and non-voting members. The Board of Trustees [preamble](#), approved by the UT Board of Trustees on May 14, 2012, sets forth the expectation that the Board of Trustees will “serve and govern the University in an effective way and to ensure a culture of constructive inquiry, open discussion and academic excellence.”

Meeting minutes and agendas for the Board are publicly available on the BOT [website](#). Deliberations clearly show the Board's intent to preserve and enhance the institution. For instance, Board members took an active role in hiring the 17th UT president, with [meeting minutes](#) demonstrating the Board's thoroughness and care in its decision to hire Dr. Sharon Gaber. Second, minutes from the special meeting held on [May 11, 2015](#) detail discussions regarding an affiliation agreement with ProMedica Health Systems that will provide substantial educational opportunity and financial support for the College of Medicine and Life Sciences. From a historical perspective, these deliberations and the decision of the Board to move forward reflect a continuing discussion about the importance of medical education to support UT's mission of “improving the human condition.” Third, minutes from the [November 16, 2015](#) Board meeting detailed the approval of UT's report on low enrollment for the Ohio Chancellor's office. Fourth, other evidence that the Board maintains a priority to preserve and enhance the institution can be seen in ongoing discussions of student retention issues. [Presentations given to the Board](#) on student retention and the development of the student retention task force display a commitment by the Board to discuss relevant issues and challenges.

To facilitate the review of reasonable and relevant interests of University constituents, the Board is structured around several [standing committees](#), each with its own charge. The Board's [statement of comportment](#) indicates that Board members should read relevant material in a thoughtful and prepared manner.

The [Academic Affairs Committee](#) is charged with oversight and ensuring “continuous improvement of University academic activities and student programs with an emphasis on student centeredness.” The [Clinical Affairs Committee](#) is charged “with oversight and strategic direction of the clinical enterprise of the University.” The [Finance and Audit Committee](#) is “charged with oversight and

continuous improvement of the financial soundness of the University.” The [Trusteeship and Governance Committee](#) “insures the integrity of Board Governance and the avoidance of conflict of interest.”

Board members are expected to interact with internal constituencies such as the President, administrators, faculty, staff and students. However, Board members are cautioned to avoid a “perception that the interaction is meant to influence, seek favors or prescribe a certain course of action.” Trustees are not to interact directly with external stakeholders. Rather, the Board of Trustees speaks “as a single entity.” [Board resolution 09-08-18](#) specifically recognizes faculty as a key stakeholder and states explicitly the Board will consider its input on University matters. A Faculty Senate representative serves as a member of the [Academic and Student Affairs Committee](#) and the Faculty Senate has a right to input on curriculum and reorganization matters as designated to it in the [Collective Bargaining Agreement](#).

Board [bylaw 3364-1-01](#) clearly outlines the authority of the Board to approve or initiate the administrative structure of UT, its educational programs and requirements, the appointment, compensation and removal of all University personnel, the fiscal policies of UT and University policies. [Bylaw 3364-1-06](#) sets the expectation that Board members will abide by the strictest ethical guidelines. The same bylaw requires that Board members receive no compensation for their services and must file a financial disclosure as to not provide the perception of external influences affecting their decision making as a Board member. Board of Trustees members sign a code of ethics at the first meeting of the fiscal year. (Signed copies are available on campus.)

The Board [delegates](#) appropriate authority to the President. The President is recognized as the executive head of UT as detailed in Board [bylaw 3364-1-07](#). The President is responsible for the entire administration, subject to the oversight of the board. [Bylaw 3364-1-07](#) also designates the provost and vice president level positions, which report to the President.

As the evidence indicates, the University of Toledo and its Board of Trustees are in complete compliance with this Core Component.

Sources

- BOT Agendas and Minutes website
- BOT Bylaw 3364_1_01 Appointment, powers and authority
- BOT Bylaw 3364_1_06 Conflict of Interest
- BOT Bylaw 3364_1_07 Administration of the University
- BOT Bylaw 3364-01-03 Committees of the Board
- BOT Bylaw 3364-01-03 Committees of the Board (page number 2)
- BOT Bylaw 3364-01-03 Committees of the Board (page number 3)
- BOT Committees FY 2016
- BOT Minutes 11-16-2015
- BOT Minutes 11-16-2015 (page number 3)
- BOT Minutes 3-12-2015 Hiring President Gaber
- BOT Minutes 5-11-2015
- BOT Preamble 5-14-2012
- BOT Statement of Board Comportment 5-14-2012
- Collective Bargaining Agreement CBA-Tenured Tenure Track
- Collective Bargaining Agreement CBA-Tenured Tenure Track (page number 9)

- Resolution No. 09-08-18, University Governance UT Board of Trustees
- Retention Data presented to BOT in 2015

2.D - Core Component 2.D

The institution is committed to freedom of expression and the pursuit of truth in teaching and learning.

Argument

UT's commitment to freedom of expression and the pursuit of truth in teaching and learning is at the core of its culture and embedded in [UT's Mission Statement](#). Core Value 2 states UT is to "vigorously pursue and widely share new knowledge; expand the understanding of existing knowledge; develop the knowledge, skills and competencies of students, faculty, staff and the community while promoting a culture of lifelong learning."

A commitment to freedom of expression is embodied directly in University [policy on "Expression on Campus,"](#) which promotes the free exchange of ideas at UT and "recognizes the constitutional freedoms guaranteed by the United States Constitution and Ohio Constitution, including freedom of speech, press, and assembly." The policy was created in response to protests to Karl Rove's talk during the 2014-2015 Jesup Scott Honors College Distinguished Lecture Series.

[Article 5.0 of the Collective Bargaining Agreement](#) between UT and the American Association of University Professors (AAUP) clearly articulates faculty rights and responsibilities and defines academic freedom. Faculty members are explicitly entitled to full freedom in research, publication and the classroom. College mission statements also provide evidence of UT's commitment to the pursuit of truth in teaching and learning.

The Faculty Senate is the designated voice of the faculty. Article II of the [Faculty Senate Constitution](#) declares that a primary responsibility of Faculty Senate is "to protect faculty rights and privileges, equal opportunity, due process, and academic freedom..." The Graduate Council embeds a commitment to truth in learning in Article I of the [Graduate Faculty Constitution](#): "The purpose of the Graduate Faculty ... shall be the advancement of knowledge through research and instruction of the highest quality. The faculty shall seek to foster in students a spirit of inquiry, recognition of the value of scholarship, and an understanding of the integrity required for the pursuit of scholarship."

The promotion and tenure process as agreed upon in the Collective Bargaining Agreement between UT and the AAUP expresses a commitment to the pursuit of truth in teaching and learning. [Article 9.0](#) provides a context by which faculty will be evaluated for tenure and promotion that includes a commitment to teaching effectiveness and a commitment to "appropriate pedagogical methods." [The Rules and Regulations for non-AAUP faculty](#) expresses a similar commitment to the pursuit of truth in teaching and learning.

As further evidence of its commitment to the pursuit of truth in teaching and learning, UT provides resources to faculty and staff such as The [University Teaching Center](#) (UTC). As part of its mission the UTC "promotes excellence in teaching and learning and seeks to create a culture which values and acknowledges activity that enhances instruction as a means to improving student learning." Incentive activities for faculty teaching development are discussed in Criterion 3.

UT has a robust research enterprise with an equal commitment to the pursuit of truth in teaching and learning. The Department for Human Research Protections and Institutional Review Boards affirm the

“need for academic freedom in the conduct of research and the value of well-designed, responsible activities that involve human subjects.”

Sources

- Collective Bargaining Agreement CBA-Tenured Tenure Track
- Collective Bargaining Agreement CBA-Tenured Tenure Track (page number 6)
- Collective Bargaining Agreement CBA-Tenured Tenure Track (page number 16)
- Faculty Rules and Regulations for Faculty not bound by a Collective Bargaining Agreement
- Faculty Senate Constitution
- Graduate Faculty Consitution
- Mission Statement with Core Values
- University Teaching Center
- UT Policy no. 3364-5-14 Expression on campus

2.E - Core Component 2.E

The institution's policies and procedures call for responsible acquisition, discovery and application of knowledge by its faculty, students and staff.

1. The institution provides effective oversight and support services to ensure the integrity of research and scholarly practice conducted by its faculty, staff, and students.
2. Students are offered guidance in the ethical use of information resources.
3. The institution has and enforces policies on academic honesty and integrity.

Argument

UT is committed to the acquisition, discovery and responsible application of knowledge.

The [Department for Human Subjects in Research](#) (DHRP) oversees UT's responsibility to assure the protection of human subjects. This responsibility is outlined in [University Policy 3364-70-05](#). The same policy requires research utilizing human subjects be reviewed by the Institutional Review Board.

UT's [two Institutional Review Boards](#) (IRB) protect human subjects and care for animal research subjects. The Social, Behavioral and Educational IRB exists to review/approve University research protocols involving human subject data generated by means of questionnaires, observation, studies of existing records and non-biomedical stimulus or intervention. The Biomedical IRB performs the same review/approval of University research designed to evaluate safety, effectiveness and/or usefulness of therapies, diagnostic procedures and preventive measures. UT requires all study personnel engaged in human subject research (including research using information and specimens from human subjects) to complete the training mandated by our federal-wide assurance program. All individuals requiring human subject research training must complete the process via the University's CITI (Collaborative Institutional Training Initiative) training website. The training must be completed before an individual can be approved as a member of the research team. The institution requires [human subjects research training](#) for investigators, staff and students engaged in human subject research. Two levels of training for biomedical researchers, and social and behavioral researchers are required by the DHRP: An initial course and, after three years, a refresher course is required of veteran researchers.

Laboratory animal research is conducted under the oversight of the [Institutional Animal Care and Use Committee](#) (IACUC). Department of Laboratory Animal Resources (DLAR) maintains an animal quality care program that meets the standards required to receive [accreditation](#) by the Association for the Assessment and Accreditation of Laboratory Animal Care International. DLAR provides [training and education](#) to research teams. The institution employs a full-time director of operations for human subjects and research protections.

The [Institutional Biosafety Committee](#) (IBC) is "responsible for the review and approval of research protocols utilizing recombinant DNA (rDNA), human and animal cell lines, biological/infectious agents and certain select agents and toxins." The IBC ensures "work with recombinant DNA and biological agents are performed as safely as possible, and in ways that eliminate or reduce potential exposure of personnel and environment."

The [University Research Council](#), established in the [Research Council Policy](#), exemplifies the commitment to research and scholarly practice at The University of Toledo and is responsible for the

formulation and review of general research policies as well as providing input to other University committees and offices on policies and practices affecting research and scholarship.

Academic and research integrity is a component of [graduate student orientation](#), with new graduate students required to complete modules on academic integrity and plagiarism.

UT guides its students in the ethical use of information resources. The Office of Undergraduate Research provides a [student research handbook](#) that includes information regarding the ethical conduct of research and scholarship. The College of Adult and Lifelong Learning offers a course entitled “Information Literacy for Research (course AL1130),” focusing on finding, retrieving, analyzing and effectively using information. Copyright information is prominently displayed on all copiers in the University Libraries.

UT enforces its policies on academic honesty and integrity. The [undergraduate policy](#) on academic dishonesty clearly outlines the expectation that all academic behaviors will be ethical and that academic dishonesty will not be tolerated. The policy on academic dishonesty gives clear direction to faculty, staff and students on what types of behaviors might constitute academic dishonesty and provides direction for faculty member who might discover dishonesty of any type. The College of Graduate Studies [policy](#) prohibiting academic dishonesty includes a process for dealing with such dishonesty. UT Online provides a basic [Policy on Academic Dishonesty](#) for online learning.

Colleges retain their own Academic Grievance Committees or other structures to handle challenges to accusations of academic dishonesty. The undergraduate Student Grievance Council, as delineated in the [Academic Grievance Policy](#), adjudicates grievances or challenges to accusations of academic dishonesty that could not be resolved at the faculty, chair or dean level within a college. [Graduate Student Academic Grievance Policy](#) provides that appeals of grievances, following upon the college appeal processes, go to the Dean of the College of Graduate Studies and, as needed, on to the Graduate Council Academic Standing Committee for the final grievance review and decision.

Sources

- Department for Human Research Protections-Institutional Review
- DLAR accreditation
- DLAR Training
- Graduate Student Orientation - Academic Integrity
- Human Subjects Research Training
- Institutional Animal Care and Use in Research IACUC
- Institutional Biosafety Committee IBC
- Institutional Review Boards
- Online Policy Statement on Academic Dishonesty
- Student Research Handbook_2015
- University Research Council
- UT Policy no. 3364_70_03 Research Council
- UT Policy no. 3364_77_01-1 Graduate student academic dishonesty
- UT Policy no. 3364_77_02 Graduate student academic grievance
- UT Policy no. 3364-70-05 Protection of Human Subjects in Research
- UT Policy no. 3364-71-04 Academic Dishonesty - Undergraduates
- UT Policy no. 3364-71-05 Academic grievance-undergrad

2.S - Criterion 2 - Summary

The institution acts with integrity; its conduct is ethical and responsible.

Summary

In summary, the University of Toledo is a mission driven institution of higher education. It is a university that faces challenges in forthright and ethical manner. It is an educational institution and a learning organization.

The evidence provided above supports that fact that UT uses its financial and personnel resources to continually transform itself into a vital metropolitan research university. Ten years ago, the vision of the UT Board of Trustees was responsible for the creation of the third largest university in the State of Ohio. The record of the merger of the Medical University of Toledo and the University of Toledo is replete with examples of ethical and responsible actions of trustees, institutional administrators, faculty and staff in collectively sharing in that merger and its subsequent success. The documentation provided by trustee records and faculty senate minutes verifies the integral interaction of the entire university community in this historical institutional action.

The subsequent transformation of the merged University into a vibrant student centered institution is the result of two very diverse academic communities joining together and learning from each other to create a set of administrative academic policies and procedures that have enhanced the opportunity for student learning and development and community engagement.

The university has recreated its administrative structure to ensure on-going academic freedom and administrative responsibility are collaborative. The financial challenges of maintaining mission critical programs and services are being met by the academic and administrative leadership of the institution. The financial and budgetary evidence provided combined with the strategic leadership of the Board of Trustees and administration clearly demonstrates that UT has created a pathway that provides continuation of a resource base that ensures future mission accomplishment.

Sources

There are no sources.