

Criterion 2- Integrity: Ethical and Responsible Conduct. The institution acts with integrity; its conduct is ethical and responsible

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

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. 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 assure a process and procedure by which conflicts of interest are to be avoided, conflicts of interest are addressed through board by law. [Article 6 of the Collective Bargaining Agreement](#) between the University and the AAUP addresses 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 web site](#). The 2014 independent auditor's report by Plante & Morgan, PLLC, validates the fact that UT operates in a responsible manner. The report states on page 13 that: "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 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 in many areas of UT's academic operations. Faculty maintains intellectual ownership of the curriculum. The Provost Office operationalizes curriculum tracking and development processes. The [curriculum tracking tool](#) provides faculty and departments with a mechanism to create and modify the curriculum. The curriculum tracking process and the curriculum-tracking tool are a reflection of principles outlined in the Faculty Senate constitution. Embedded in this [process](#) is a review by the department, college, faculty senate or graduate council, and Office of the Provost. Any UT constituent with valid University credentials can view curriculum modifications. UT is required to comply with 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 policies and student life policies also provide evidence of a commitment to academic integrity. [The academic dishonesty policy](#) states explicitly that the "University values responsible and ethical behavior in all academic endeavors." Primary responsibility for academic integrity is assigned to the student. The policy explicitly states: "students are responsible for knowing what constitutes academic dishonesty." However, the policy recognizes the critical role of the 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. Students are required to complete a module about academic dishonesty in their orientation class. The [student code of conduct](#) expressly prohibits cheating and plagiarism (evidence of cases handle/process followed). Faculty are strongly encouraged to include information regarding academic integrity and dishonesty on their syllabi. The University Teaching Center provides a [syllabus template](#) and a syllabus review tool that assists faculty in the development of their syllabi and provides guidance on what policies are required on each syllabus and what policies may be included to guide students on relevant policies 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 is delegated to 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 an annual 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 are available to departments and individuals. New employee orientation covers FERPA and is mandatory for all new employees ([presentation](#); [list of groups trained 2014-2015](#)). 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 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. ([minutes from finance committee with deliberations on this and include evidence of presentation and acceptance of the budget.](#))

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 that search committees have representation from both sexes and include minority representation. Search committee members are required to undergo diversity training offered through the [Office of Inclusion](#). The Office of Inclusion tracks completion of diversity training and maintains records on those that have undergone training. To date, approximately 76% of UT employees have undergone diversity training. In fall 2015, Title IX training was made mandatory for faculty and staff. The Human Resources and Talent Development Office maintain fair hiring records. UT is also currently undertaking a [comprehensive compensation study](#) to ensure it is not discriminating.

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

Human resources policies for faculty and staff exemplify the requirement for ethical and responsible behavior among UT employees. [The standards of conduct policy](#) outlines the responsibility of supervisors and a process by which violations of standards of conduct should be reported. The University policy on [sexual harassment and other forms of harassment](#) identifies harassment and prohibited conduct in an effort to maintain an environment of equity and respect. The University provides Title IX information to the University community on the University [web site](#). After a Title IX procedural review by an external consultant, UT established 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 aggregated in a single site maintained by the [Office of](#)

[Institutional Diversity](#). All harassment and related complaints will be handled through a consistent process. Several people have been terminated for violating these policies, which is further evidence of the institution's commitment to title IX compliance.

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.

Ethical and responsible behavior of the University is demonstrated by a commitment to transparency and accessibility. 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" Draft policies are communicated publicly on the [University policy web site](#). Faculty, staff, administrators, students, and other university stakeholders and members of the general public may comment on draft policies for thirty days after the draft is posted. Deliberations of Board of Trustees are publicly available through [agendas and meeting minutes](#) on the Board of Trustees web site and meetings are open to the public. Faculty deliberations are available through the [meeting minutes and agendas on the faculty senate website](#) and the [graduate council website](#), which are open to the public.

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.

The University [web site](#) is the primary source for all University information. 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 online catalog software that has the potential to streamline development and tracking

of catalog changes. In the last year, a diverse group of faculty and staff reviewed information and offered input on what might be needed from such a tool. A request for proposals was issued on October 19, 2015. Vendor proposals were due on November 6, 2015. A committee representing broad interests across the institution will review the requests beginning December 7, 2015. The Provost Office is working to adjust budgetary requests to accommodate the increased costs and plans to build these costs into its next budget.

Each academic program is required to articulate transparently its program requirements. Students are held to program requirements based on the catalog year in which they matriculate to a program. Individual college catalogs contain current degree and program requirements. Additionally, colleges may publish their academic requirements on their web pages. For instance, the College of Engineering dedicates a large portion of its web site to [degree and curricular requirements as well as academic policies](#).

Degree requirements are also available to 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 advisor to run them. However, academic advisors are available in each academic college provide assistance to individual students requesting advising. Curriculum changes made through the curriculum tracking process are operationalized in the computerized degree audit after approval has been obtained from the appropriate curricular authorities.

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 the University of Toledo. Internal stakeholders and the general public are able to locate information regarding [enrollment](#), [course completion rates](#), [retention and graduation rates](#), and [other institutional characteristics](#). [Institutional data reports contain detailed enrollment and financial information](#) and 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 jointly by IR 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 and fees are approved by the Board of Trustees. Current and historical finance brochures are available [publicly](#). Finance brochures catalog all board-approved fees and fee policies. Estimated expenses are clearly indicated on the [Office of Undergraduate Admissions web site](#). A dynamic, interactive, net price calculator is prominently displayed on the Office of [Financial Aid's website](#). [Minimum scholarship requirements and award levels](#) are prominently displayed on the Office of Undergraduate Admissions web page. [Scholarship terms and details](#) are displayed publicly and provide detailed information on how scholarships are awarded and maintained.

Registration information, including refund and add/drop dates, is maintained by the Office of the Registrar. [Important registration dates](#) are communicated on the Office of the Registrar's website. Prior to each semester, the Office of the Registrar communicates these dates to students to provide information that impacts student accounts and student bills. Two years ago UT took a major step forward in providing transparency to 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](#).

As a result of a strategic decision to work with local community college leadership and faculty, local community college students can 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 community college department chairs and UT department chairs were held to facilitate 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](#) webpage is dedicated to cataloging accreditation information, including individual program accreditations and endorsements. This web page prominently displays University accreditation information and UT's current status with the HLC. The public, faculty, staff, and students are provided with a website dedicated to

[accreditation and the accreditation process](#) with a [FAQ](#) dedicated to questions about HLC accreditation.

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

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 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 the day to day management of the institution to the administration and expects faculty to oversee academic matters

Under Ohio Revised Code, UT is governed by a Board of Trustees consisting of nine 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. Board members took an active role in hiring the 17th UT president. Meeting [minutes](#) demonstrate the Board was thorough and contemplative 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 with such an agreement reflect a continuing discussion about the importance of medical education to support UT's mission of "improving the human condition" and to the region. 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 clear evidence that the Board's deliberations reflect 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 UT ([recent presentations on retention](#)).

To facilitate consideration and 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 board members should read relevant meeting material in a thoughtful and prepared manner.

The [Academic Affairs Committee](#) is charged with oversight and insurance of "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. The Faculty Senate president 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 each sign a code of ethics at the first meeting of the fiscal year.

The Board [delegates](#) appropriate authority to the President ([Resolution 09-08-18: University Governance; organizational chart](#)). 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 3354-1-07](#) also designates the provosts and vice president level positions which report to the president.

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

UT's commitment to freedom of expression and the pursuit of truth in teaching and learning is embedded at the core of its culture. This commitment is 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.”

[Article 5.0 of the Collective Bargaining Agreement](#) between UT and the 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 Senate](#) declares that the Faculty Senate exists to protect the 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 Council Constitution](#). “The purpose of the Graduate Faculty of the University of Toledo 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 that values and rewards activity that enhance instruction and student learning. Incentive activities for faculty teaching development are discussed in Criterion 3.

UT has a robust research enterprise. Embedded in that enterprise is a 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.”

2.E. The institution ensures that faculty, students, and staff acquire, discover, and apply knowledge responsibly.

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.

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

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

The University has two [Institutional Review Boards](#) (IRB) to protect human subjects and to care for animal research subjects. The Social, Behavioral and Educational IRB exists to review/approve “University protocols involving human subjects that generate data by means of questionnaires, observation, studies of existing records, and other experimental designs involving exposure to some type of non-biomedical stimulus or intervention.” The Biomedical IRB reviews/approves University research designed to evaluate the safety, effectiveness, or usefulness of an intervention, including research on therapies (e.g., drugs, diet, exercise, surgical interventions, or medical devices), diagnostic procedures (e.g., CAT scans), and preventive measures as well as research that may generate data by means of questionnaires, surveys and/or review of existing records related to medical care or treatment.”

The institution requires [human subjects research training](#) for investigators, staff and students engaged in human subject research. Two levels of training are provided by the DHRP. An initial

course and a refresher course for veteran researchers is provided for both biomedical researchers and social and behavioral 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 members of 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 that “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 and providing input to other University Committees and administrative offices concerning other University policies and practices which affect the conduct of research and scholarship at the University.”

Academic integrity and research integrity is a component of Graduate student orientation. New graduate students are 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)”. This course is designed to enable students to “find, retrieve, analyze, and effectively use information.” Copyright information is prominently displayed on all copiers in the University Libraries.

UT has and enforces policies on academic honesty and integrity. [The policy on academic dishonesty](#) clearly outlines the expectation that all academic behaviors will be done ethically 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 on the recourse a faculty member might take when dishonesty of any type is discovered. The College of Graduate Studies [provides a policy](#) by which academic dishonesty is prohibited and a process for dealing with dishonesty when discovered. Learning Ventures provides a basic policy statement for online learning on [Academic Dishonesty](#). 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 were not able to be resolved at the faculty, chair, or dean level within a college. [Graduate student academic grievance policy](#) provides for appeals of grievances, following upon the college appeal processes, to go to the Dean of the College of Graduate Studies and finally to the Graduate Council.