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

Integrity and transparency are core university values. CWRU demonstrates its commitment to these principles through advocating academic freedom and responsibility, ethical behavior and shared governance. These core values were identified as being instrumental in shaping the university’s future in the 2008-2013 strategic plan and were reaffirmed in the 2013-2018 strategic plan. In fact, one of the eight interdisciplinary initiatives identified as key in the most recent strategic plan is to increase the role of ethics in education and the overall campus experience.

Financial: CWRU operates with integrity in its financial functions. The university’s Board of Trustees is charged with reviewing and approving the annual budget and overseeing its administration upon the advice and recommendations of its subcommittees. The Board's Finance Committee reviews and recommends on the financial plans and the long range financial strategy for the university. The Board's Audit Committee ensures that the university is using proper financial procedures and accounting principles.

Daily financial operations of the university are overseen at multiple levels. At the institutional level, the Office of Budget and Financial Planning monitors the budget, and financial procedures are regularly reviewed by the Office of Audit Services, both of which reside in the Division of Finance. The university prepares and makes public on its website annual audited financial statements (e.g. the audited financial statements for fiscal years 2013 and 2014). The Faculty Senate Finance Committee and University Budget Committee are charged with ensuring that budget allocations are consistent with the mission and overall goals of the university. The university is served by an enterprise-wide financial system (PeopleSoft Financials) which promotes transparency and sharing of financial information across campus.

In addition, each management unit within the university has a finance officer whose responsibility it is to ensure that the unit operates properly and with financial integrity. These officers routinely report to the central Office of Budget and Financial Planning.

The report of independent auditors on CWRU's financial performance under federal awards likewise indicates that the university operates with financial integrity. See the sample reports for the OMB Circular A-133 requirements submitted for fiscal years 2012, 2013, and 2014. Similar reports for other years are publicly posted on the audit services website. Other financial reports appear on the website for the Office of the Treasurer.

Academic: Academic policies and procedures for undergraduate are overseen by the Office of Undergraduate Studies. This office also collaborates with the schools to facilitate and help develop new programs and policies to advance undergraduate education. The School of Graduate Studies plays a similar role for the university's graduate programs. Curricular changes as well as new courses and academic programs are fully vetted through the schools’ curriculum committees and deans and are submitted to the Office of Undergraduate Studies or Office of Graduate Studies, as appropriate,
for further review. In most situations the specific proposal will require the review and approval of the Faculty Senate Committee on Undergraduate Education if related to undergraduate education or the Faculty Senate Committee on Graduate Studies if related to graduate or professional school education. As is described in the Faculty Handbook, the Faculty Senate is responsible for reviewing the curricular proposals and in appropriate cases makes recommendations to the President for consideration and transmittal to the Board of Trustees. When necessary, approvals are sought from other governing bodies such as the Ohio Board of Regents, professional organizations that accredit specific programs, or the Higher Learning Commission. The approval steps necessary for different types of academic programs and policies are summarized on the university's Program Approval Matrix.

The university has also adopted a policy to ensure Integrity in Distance-Learning programs as well as a policy on Assignment of Academic Credits. This policy requires each school to review its course offerings to ensure that the credit hours awarded are consistent with the effort requirements described in the university’s definition of a credit hour.

**Personnel:** The university operates with integrity in its personnel functions. The Human Resources websites provide a comprehensive Policy Manual containing clear and thorough information on personnel policies, benefits and compensation. All new employees participate in an orientation on their first day of employment where these policies are reviewed. The CWRU Staff Advisory Council, an advisory group consisting of both administration and staff members, provides feedback on policies and issues that affect the university.

The Office of Administration, which is responsible for the general administration, business services, and facilities at CWRU, creates partnerships across campus and the greater community to further the university’s goals. Policies that pertain to various business practices are enforced by that office.

The university establishes and follows policies and processes for fair and ethical behavior on the part of its Board of Trustees, administration, faculty and staff. The CWRU Board of Trustees is governed by a set of regulations and bylaws and has the power, responsibility and authority provided under the laws of the State of Ohio and as specified in the Articles of Incorporation and the Regulations of the University. This includes the power, responsibility and authority to establish general policies for the governance, maintenance and operation of the university. The bylaws articulate the responsibility of a Board member in the event of a conflict of interest or potential conflict of interest to fully disclose the potential conflict so that it can be investigated.

The university policy on individual and institutional conflicts of interest was originally adopted in 1977 and has been updated on a regular basis, most recently in June of 2012. The policy applies, in general, to the Board of Trustees, officers of the corporation, administrative officials, faculty, staff, students and trainees. The policy attempts to strike a balance between the goal of preserving academic freedom with the desire to preserve the integrity of the university and its members. The full policy is contained in the Faculty Handbook, on the Research and Technology Management website and is referenced in the Human Resources Policy Manual.

Examples of other policies and procedures that govern the conduct of university community members include:

1. **Rules of Conduct** - These rules were designed to preserve freedom of expression and association on the CWRU campus and to reaffirm the civil, personal, and property rights of the university and its members.

2. **University Compliance Programs** - These programs are administered through the Office of
General Counsel which is responsible for monitoring, coordinating and assessing the university’s many compliance efforts. All new employees are required to participate in ethical behavior training through this program. The university community is encouraged to report concerns of non-compliance through an integrity hotline. In addition, a Code of Conduct guide produced by the Office of General Counsel provides a ready reference to the CWRU community about expectations and resources for compliance matters.

3. **Acceptable Use of Computing and Information Technology Resources** - This policy provides information on the acceptable use of computing and information technology resources for the CWRU campus community, and is intended to reflect the university’s commitment to the goals, principles and ideals integrity and ethical behavior expressed in the statement of CWRU's core values.

4. **Sexual Misconduct Policy** - The university recently updated its policy on sexual misconduct that governs the behavior of all university community members as defined within the policy. The purpose of the policy is to define sexual misconduct and the procedures the university uses to investigate and take action after complaints of sexual misconduct. The sexual misconduct policy is also easily accessible on a dedicated website. Additional information and resources about sexual conduct is provided by the Office of Inclusion, Diversity, and Equal Opportunity.

CWRU supports faculty, graduate and professional students, staff, as well as undergraduates who are engaged in research activities. Among other resources available to researchers, the university has established a Research Compliance Office to ensure compliance with federal, state and local regulations. This office also provides educational opportunities and resources to address the needs of those conducting research within the university community, including Responsible Conduct of Research training. CWRU has established policies on research misconduct and on human research protection. The Office of Research Technology Management also provides support for human-subjects research through its Human Research Protection Program.

The Faculty Handbook includes policies and procedures specific to members of the faculty including a statement of ethics, and guidelines for evaluating the success with which faculty members fulfill their roles as scholars and teachers, and for the process by which they are evaluated by their peers and the university. The Handbook also includes information on the professional responsibilities and standards for academic conduct of faculty and the processes and procedures for university investigation of violation allegations. CWRU has also instituted an effort reporting policy that requires all faculty, staff, and students working on sponsored projects to verify that the time they have reported and charged to these projects is accurate.

Faculty with disputes regarding personnel practices or inter-collegial conflicts may seek advice and mediation services from the Faculty Conciliation and Mediation Counselor. A more formal grievance process is available to faculty in the case of disputes regarding personnel practices not otherwise resolved through the mediation process.

Staff employment-related concerns or complaints are referred to the Office of Employee Relations within the Office of Human Resources. Informal as well as formal complaint resolution options are available to staff.

**Sources**

- A133 draft report (FY 2014)
• A133 report (FY 2012)
• A133 report (FY 2013)
• Academic policies for undergraduates - from Undergraduate Studies website
• Acceptable use policy, Information Technology - from website
• Audited Financial Statement (FY 13)
• Audited Financial Statement (FY 14)
• Budget and Financial Planning office - overview from website
• Business policies - portal website and eleven main policies
• Charge to Faculty Senate Committee on Graduate Studies
• Charge to Faculty Senate Committee on Undergraduate Education
• Charge to Faculty Senate Finance Committee and membership list - from website
• Charge to University Budget Committee and membership list - from website
• Code of Conduct guide
• Conflict of interest policy - from Human Resources Policy Manual
• Description of staff grievance process - from Human Resources Policy Manual
• Description of the Human Research Protection Program - from Office of Research website
• Effort certification policy - from the Office of Research and Technology Management website
• Faculty Handbook (2014)
  • Faculty Handbook (2014) (page number 17)
  • Faculty Handbook (2014) (page number 28)
  • Faculty Handbook (2014) (page number 34)
  • Faculty Handbook (2014) (page number 48)
  • Faculty Handbook (2014) (page number 55)
  • Faculty Handbook (2014) (page number 56)
  • Faculty Handbook (2014) (page number 68)
  • Faculty Handbook (2014) (page number 81)
  • Faculty Handbook (2014) (page number 103)
  • Faculty Handbook (2014) (page number 118)
• Finance Division - overview from website
• Graduate Studies academic policies and procedures - from website
• Listing of financial reports - from Office of the Treasurer website
• Listing of research-related policies - from the Office of Research and Technology Management website
• Mission, Vision, and Core Values statements - from 2013 Strategic Plan
• Overview and membership of Staff Advisory Council - from website
• Overview of integrity hotline and hotline policy - from website
• Overview of PeopleSoft financials module - from website
• Overview of the Office of Administration - from website
• Overview of University Compliance programs - from website
• Overviews of the Office of Audit Services, Code of Conduct, and reports - from website
• Overviews of the Office of Audit Services, Code of Conduct, and reports - from website (page number 11)
• Policy-on-Assignment-of-Academic-Credit
• Policy-on-Assurance-of-Integrity-in-Distance-Learning-Courses
• Program approval matrix - showing requirements for internal and external levels of approval
• Regulations and Bylaws - Board of Trustees
• Regulations and Bylaws - Board of Trustees (page number 7)
• Regulations and Bylaws - Board of Trustees (page number 10)
• Regulations and Bylaws - Board of Trustees (page number 11)
• Regulations and Bylaws - Board of Trustees (page number 13)
- Research Compliance Programs
- Responsible Conduct of Research training
- Sexual Conduct information page - from Office of Inclusion Diversity and Equal Opportunity website
- Sexual Misconduct Policy
- Sexual Misconduct Policy website
- Table of contents, Human Resources Policy Manual - from website
- University Strategic Plan for 2008-2013
- University Strategic Plan for 2013-2018
- University Strategic Plan for 2013-2018 (page number 10)