

## Workgroup 2 – Ethics and Integrity

**Workgroup 2 Mission:** Evaluate and, as appropriate, describe how ethics and integrity are central, indispensable, and defining hallmarks of the University at Albany. Across activities, whether internal or external, describe how UAlbany is faithful to its mission, honors its contracts and commitments, adhere to its policies, and represent itself truthfully.

Workgroup 2 to cover (in approximately 10 single spaced pages, not including appendices):

1. A commitment to academic freedom, intellectual freedom, freedom of expression, and respect for intellectual property rights;
2. A climate that fosters respect among students, faculty, staff, and administration from a range of diverse backgrounds, ideas, and perspectives;
3. A grievance policy that is documented and disseminated to address complaints or grievances raised by students, faculty, or staff. The institution's policies and procedures are fair and impartial, and assure that grievances are addressed promptly, appropriately, and equitably;
4. The avoidance of conflict of interest or the appearance of such conflict in all activities and among all constituents;
5. Fair and impartial practices in the hiring, evaluation, promotion, discipline, and separation of employees;
6. Honesty and truthfulness in public relations announcements, advertisements, recruiting and admissions materials and practices, as well as in internal communications;
7. As appropriate to its mission, services or programs in place:
  - a. to promote affordability and accessibility;
  - b. to enable students to understand funding sources and options, value received for cost, and methods to make informed decisions about incurring debt;
8. Compliance with all applicable federal, state, and Commission reporting policies, regulations, and requirements to include reporting regarding:
  - a. the full disclosure of information on institution-wide assessments, graduation, retention, certification and licensure or licensing board pass rates;
  - b. the institution's compliance with the Commission's Requirements of Affiliation;
  - c. substantive changes affecting institutional mission, goals, programs, operations, sites, and other material issues which must be disclosed in a timely and accurate fashion;
  - d. the institution's compliance with the Commission's policies; and
9. Periodic assessment of ethics and integrity as evidenced in institutional policies, processes, practices, and the manner in which these are implemented.

Be sure to examine/incorporate the following elements:

- Faculty handbook
- Staff handbooks
- Student grievance policies
- Conflict of interest policies, including who must sign which documents
- Approval policy for creating new policies
- Policy for evaluating and approving contracts
- Hiring and promotion policies and procedures
- Policies for assessing risk

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- Verification of compliance with IPEDS and other mandatory federal and state data submissions (particularly those not covered by the MSCHE Verification of Compliance with Accreditation-Related Federal Regulations)
- Location of websites and reporting information containing reporting of Student-Right-to-Know Act data

Tied to Requirements of Affiliation: 5, 6, 7, 8, 11, 12, 13, 14, 15

5. The institution complies with all applicable government (usually Federal and state) laws and regulations.

6. The institution complies with applicable Commission, interregional, and interinstitutional policies.

7. The institution has a mission statement and related goals, approved by its governing board that defines its purposes within the context of higher education.

8. The institution systematically evaluates its educational and other programs and makes public how well and in what ways it is accomplishing its purposes.

11. The institution has documented financial resources, funding base, and plans for financial development, including those from any related entities (including without limitation systems, religious sponsorship, and corporate ownership) adequate to support its educational purposes and programs and to ensure financial stability. The institution demonstrates a record of responsible fiscal management, has a prepared budget for the current year, and undergoes an external financial audit on annual basis.

12. The institution fully discloses its legally constituted governance structure(s) including any related entities (including without limitation systems, religious sponsorship, and corporate ownership). The institution's governing body is responsible for the quality and integrity of the institution and for ensuring that the institution's mission is being accomplished.

13. A majority of the institution's governing body's members have no employment, family, ownership, or other personal financial interest in the institution. The governing body adheres to a conflict of interest policy that assures that those interests are disclosed and that they do not interfere with the impartiality of governing body members or outweigh the greater duty to secure and ensure the academic and fiscal integrity of the institution. The institution's district/system or other chief executive officer shall not serve as the chair of the governing body.

14. The institution and its governing body/bodies make freely available to the Commission accurate, fair, and complete information on all aspects of the institution and its operations. The governing body/bodies ensure that the institution describes itself in comparable and consistent terms to all of its accrediting and regulatory agencies, communicates any changes in accredited status, and agrees to disclose information (including levels of governing body compensation, if any) required by the Commission to carry out its accrediting responsibilities.

15. The institution has a core of faculty (fulltime or part-time) and/or other appropriate professionals with sufficient responsibility to the institution to assure the continuity and coherence of the institution's educational programs.