

## STANDARD NINE: INSTITUTIONAL INTEGRITY

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## STANDARD NINE: INSTITUTIONAL INTEGRITY

This self-study of institutional integrity begins with a general description of the structure, policies, and supporting documents which guide the ethical behavior of faculty, staff, and students. Specific examples listed in this report portray how The University of Montana demonstrates integrity in the administrative, academic, student services, and research sectors. The discussion will specifically address how The University of Montana meets its commitments to ethics, diversity, and integrity as they relate to conflicts of interest, academic freedom, and public communication. The report also summarizes the specific ways that The University of Montana demonstrates institutional integrity as it relates to the accreditation standards.

### COMMITMENT TO HIGH ETHICAL STANDARDS

The University of Montana provides students with significant scholarly leadership and extracurricular enrichment. The University nurtures students' capability to think critically and to communicate effectively. The University of Montana's mission specifically refers to "ethics" as a foundational study for all students enrolled at the University. This mission is grounded in a commitment to institutional excellence based on the core belief that individual board members, administrators, faculty, and staff will act according to high ethical standards. With that belief in mind, policies, procedures, and programs have been developed to create a shared understanding of appropriate conduct for decision making and actions which are aligned with the University's commitment for institutional excellence in all pursuits.

The expectation of ethical behavior crosses all functions, roles, and structures. The practice and reinforcement of ethical conduct, operational activities, and mission-based decisions are incorporated in daily life at UM. In February 2007, the President appointed and charged the Task Force on UM Ethics to develop a code of conduct that would establish a set of inspirational expectations of ethical standards for all campus community members. This committee accomplished its goal through a collaborative process that included faculty, staff, and administrators ([Exhibit RE 9-05](#)). *The Montana Creed: Statement of Ethical Principles* resulted from this work and appears prominently at the beginning of the [Strategic Directions for The University of Montana](#)<sup>1</sup>. *The Montana Creed* provides a framework for individual members of the campus community to reflect and commit to creating a culture of respect and integrity in word and deed.

The University of Montana has a strong tradition of rigorous self-inquiry and concern that upholds doing the right things for the right reasons. The University strives to balance personal responsibility with compliance to policies. In addition, continuous efforts are made to proactively address new operational, technological, and/or academic challenges that require an ethical response through the development of new policies or campus-wide initiatives.

**The Montana Creed: Statement of Ethical Principles**

*The community of scholars at The University of Montana has committed to pursue personal and academic excellence. Choosing to join The University of Montana community obligates each member to a code of civilized behavior.*

- *Respect the dignity and rights of all persons.*
- *Practice honesty, trustworthiness, and academic integrity.*
- *Promote justice, learning, individual success, and service.*
- *Act as good stewards of institutional resources.*
- *Respect the natural environment.*

**POLICIES AND PROCEDURES**

As a public institution, The University of Montana is governed and administered according to the policies outlined below:

- The Montana Board of Regents (BOR): The Montana Board of Regents maintains a [Policy and Procedures Manual](#)<sup>ii</sup> that includes policies applicable to all of the units of the Montana University System (MUS). The manual provides a framework for the University’s policies regarding academic freedom, ethical conduct, and conflict of interest. The policies articulate a balanced and fair approach for University guidelines in response to the needs of the public, students, and employees ([Exhibit OSM 9-01](#)).
- The University of Montana: The [University’s Policies](#)<sup>iii</sup> and procedures governing all aspect of the University’s operations and oversight are readily available and accessible to the public. These policies are adopted through a campus-wide procedure that allows dissemination of proposed policies for campus comment and opportunities to propose new policies or caveats or revisions for implementation ([Exhibit OSM 9-01](#)).
- Montana Code Annotated (MCA): State laws in Montana include a code of ethics and standards of conduct which apply to all state employees, including University administrators, faculty, and staff. The standards of conduct applicable to state employees in Montana can be found in [Title 2, Chapter 2, Montana Code Annotated](#)<sup>iv</sup> ([Exhibit RE 9-05](#)).

In addition, the University adheres to applicable federal, state, and local laws and regulations. The University’s business relationships and transactions are monitored to ensure responsible stewardship of state dollars and fair treatment of its business partners. Legislative and governmental relations are also regulated by state and federal law and by internal policy to promote a high level of ethical interaction.

## FACULTY, STAFF, AND STUDENT EXPECTATIONS

All University employees, regardless of employment title or position, are considered public employees under Montana law which explicitly prohibits the following:

- Engaging in a substantial financial transaction for private business purposes with a person whom the employee inspects or supervises in the course of official duties;
- Assisting any person for a fee or other compensation in obtaining a contract, claim, license, or other economic benefit from the University;
- Assisting any person for a contingent fee in obtaining a contract, claim, license, or other economic benefit from any agency;
- Performing an official act directly and substantially affecting to its economic benefit a business or other undertaking in which the employee either has a substantial financial interest or is engaged as counsel, consultant, representative, or agent; or
- Soliciting or accepting employment, or engaging in negotiations or meetings to consider employment, with a person whom the officer or employee regulates in the course of official duties without first giving written notification to the officer's or employee's supervisor and department director.

In addition to the above, there are standards of conduct that are specific to a professional role. These standards of conduct are outlined in collective bargaining agreements, role descriptions, and code of conduct documents.

### Faculty Standards of Conduct

The University Faculty Association (UFA) covers all eligible faculty members at the Mountain campus, and its [Collective Bargaining Agreement](#)<sup>v</sup> (CBA) with the Montana University System outlines a variety of professional expectations related to conduct in research, scholarship, and teaching. The following sections of the CBA speak to professional and ethical conduct ([Exhibit OSM 9-01](#)):

- Section 2.800 Non-Discrimination
- Section 6.000 Academic Freedom and Responsibility
- Section 12.000 Conflicts Of Interest
  - 12.310 Prohibited Activities
  - 12.320 Activities Requiring Disclosure
  - 12.330 Research Conclusions
- Section 14.000 Copyright, Patent, and Computer Policies
- Section 21.000 Student Complaint Procedure

Faculty members based at The University of Montana College of Technology (COT) are represented by The University of Montana College of Technology Faculty Association. The [COT Faculty Collective Bargaining Agreement](#)<sup>vi</sup> has similar language to the UFA CBA ([Exhibit OSM 9-01](#)). While the faculty in the School of Law are not unionized, all

other faculty members of the University must adhere to the professional conduct practices agreed to in the CBA.

### **Staff and Professional Contract Employee Standards of Conduct**

Classified staff and professional contract employees are integral to the University's commitment to high ethical standards. These employees often serve in roles of oversight and compliance enforcement. Many of these staff members are also affiliated with one of the 10 unions that represent classified staff, and are thus subject to a specific set of professional and ethical standards related to their association or craft. The Montana University System website includes a list of [collective bargaining agreements](#)<sup>vii</sup> for easy access and reference ([Exhibit OSM 9-01](#)). The relationship between The University of Montana, staff employees, and labor partners is built on a shared philosophical belief in respect, fairness, equity, integrity, and a commitment to continuous improvement.

### **Student Standards of Conduct**

The University of Montana is committed to creating informational, educational and experiential opportunities to improve students' awareness of ethics and integrity. The [Student Rights Section of the 2009-2010 Course Catalog](#)<sup>viii</sup> outlines student rights and the procedure to follow when a student feels discrimination has occurred ([Exhibit RE 9-03](#)). The University's [Student Conduct Code](#) emphasizes educational interventions and establishes ethical standards for students in both academic and co-curricular settings ([Exhibit RE 9-05](#)). The Student Conduct Code sets forth University jurisdiction, student rights, standards of academic and general student conduct, disciplinary sanctions for breach of the code, and procedures to be followed in adjudicating charges of both academic and general misconduct.

The University of Montana holds student-athletes and their coaches, without exception, to the same high standards of ethical conduct expected of all members of the University community. Student-athletes are required to review and adhere to the [Student-Athlete Handbook](#)<sup>ix</sup> ([Exhibit RE 9-05](#)). The handbook contains the Student-Athlete Conduct Code (pp 5-8) and includes standards, disciplinary procedures, and ethical considerations. The code reflects the rules and regulations outlined in both the National Collegiate Athletic Association (NCAA) and Big Sky Conference. The Director of Athletics, the [University Athletic Committee](#)<sup>x</sup>, and head coaches developed and edited the code with standards that conform to the parameters of the various sports. In addition to outlining the standards of conduct expected of all student-athletes, the handbook addresses overall ethical considerations demanded of a student-athlete. In 2009, the Student-Athlete Conduct Code was strengthened by establishing a new Student-Athlete Disciplinary Committee. This committee consists of an athletic administrator and faculty and student members, and recommends sanctions in situations not covered by the code or team rules. In addition, the committee hears appeals of sanctions imposed by a coach, including suspension or expulsion from a team.

## ETHICS IN ACTION

Administration, faculty, staff, and students of The University of Montana are committed to work together to create an ethical environment that supports the goals of the institution. In addition to the above policies, the culture of this campus provides ways to

address difficult challenges in a collaborative way to ensure that all views are considered. This commitment forms the core of this University's culture – one that strives to be fair, respectful, and free from discrimination and harassment. The following is a brief overview of the committees, activities, and initiatives implemented during the past few years that demonstrate the University's continuing efforts to operate ethically and to incorporate ethics into new programs and curriculum.

### Programs and Committees

- [Center for Ethics](#)<sup>xi</sup>: The Center for Ethics serves as a hub for the various ethics-related activities on campus. It organizes lecture series that are open to students, faculty, and public on a variety of topics. In addition, the center sponsors online resources on teaching ethics and incorporating ethics into research.
- [Academic Court](#)<sup>xii</sup>: Academic Court convenes when necessary to determine if a violation of the standards of student conduct has occurred and, if so, to determine an appropriate academic penalty and/or University sanction. For additional information, please see pp. 5-13 of the [Student Conduct Code](#).
- [ADA Team](#)<sup>xiii</sup>: The Americans with Disabilities Act Team monitors University facilities, programs, policies, plans, and activities to ensure the identification, prevention, and elimination of physical and/or programmatic barriers that interfere with faculty, staff, and student access to the University.
- [Diversity Advisory Council](#)<sup>xiv</sup>: The Council encourages, advocates, and facilitates communication, education, and relations to build diversity at The University of Montana. This commitment to diversity is viewed as both an ethical and legal responsibility and an important component of a quality educational experience.
- [University Center Diversity Programming](#)<sup>xv</sup>: This initiative united students, staff, and faculty in building a more diverse and welcoming campus. Programs include the [Day of Dialogue](#), a full-day symposium designed to create campus-wide discussions and reflections about diversity that enrich the lives of everyone, The University's support of this and other programs demonstrates a commitment to diversity.
- [Hazing & Harassment Hotline](#)<sup>xvi</sup>: The University of Montana will not tolerate hazing or harassment. Such incidents are serious violations of the Student Conduct Code. Students may report incidents of hazing or sexual harassment, malicious verbal intimidation, racial or sexual orientation harassment, or other forms of malicious intimidation by calling the hotline.
- [UM Allies Program](#)<sup>xvii</sup>: The UM Allies Program promotes a more welcoming, safe, and inclusive campus for gay, lesbian, bisexual, and transgender (GLBT) individuals and their supporters. By providing opportunities to engage in self-reflection, commitment to addressing intolerance and prejudice, and advocacy on behalf of GLBT community members, the UM Allies Program develops and nurtures allies. Training opportunities are available for any interested faculty, staff, and student coordinators.

- **University Center Multicultural Alliance:** The UC Multicultural Alliance aims to unite students, staff, and faculty in building a more diverse and welcoming campus. Working in collaboration with academic programs and student organizations, the Multicultural Alliance sponsors educational and entertaining cultural events, meetings, and classes that encourage personal growth and create an environment of diversity and equality on campus.
- **PACE Program<sup>xviii</sup>:** The University of Montana entered into a cooperative agreement with the National Science Foundation ADVANCE program to form the Partnership for Comprehensive Equity (PACE) in fall 2003. PACE focuses on promoting “quality through diversity” in 13 science departments. PACE has developed new recruitment and retention procedures and programs to support the diversification of the science faculty. PACE also manages outreach projects to Native American women scientists. PACE conducted Talking Circles meetings of American Indian women scientists to explore barriers to engagement for Native women in science, held workshops, administered the American Indian Visiting Scholars Program, formed a collaborative graduate student initiative, and created an electronic resource library. PACE also facilitates a national network of Native women scientists called the Indigenous Women in Science Network, which aims to empower emerging scientists and promote the integration of cultural values with science. PACE outreach work has been institutionalized through a new office at UM, Research Opportunities in Science for Native Americans.



**PACE Women in Science Luncheon**

- Sustainability and Eco-Minded Outreach and Education: The University of Montana views sustainability as a complex ethical imperative that must engage administrators, faculty, staff, and students. The UM community has a long tradition of working for environmental stewardship and democracy. The President appointed a [Sustainable Campus Committee](#)<sup>xix</sup> (SCC) to guide and document UM's efforts. The SCC recognizes outstanding efforts to build sustainability with an annual Greening UM award and provides an annual State of the Sustainable Campus report delivered during Earth Week. In addition, in 2008, the University completed a Greenhouse Gas Inventory and created an [Office of Sustainability](#)<sup>xx</sup> at The University of Montana.

### TANGENTS TO THE OVAL...

## UM IMPLEMENTS EXEMPLARY MODIFIED DUTIES POLICY

The University of Montana now offers a modified duties policy for any “primary caregiver” who is a tenure-track or tenured faculty member experiencing the birth, adoption, or foster care placement of a child under the age of six, or caring for an invalid or disabled primary family member. Under the policy, faculty may be released from teaching, research, and/or service for one semester. As stated in the 2009 UFA Collective Bargaining Agreement, “The Administration shall be responsible for funding the faculty modified duties policy and each FMD accommodation is subject to review and final approval by the Provost.” Participants may elect to receive a one-time tenure-clock extension of one year and a delay of their annual evaluation by one year.



**A UM Faculty Member with Her Son**

This policy was researched, developed, and approved through a collaborative process involving the Office of the Provost, the Partnership for Comprehensive Equity (PACE), the University Faculty Association (UFA), and the Office of Human Resource Services. Although modified duties policies are becoming more common at universities across the country for the birth, adoption, and foster care placement of a child, the inclusion of invalid care in this policy makes it a model for other campuses. It also promotes equity, as the policy can be used by faculty at different life stages.

## Curriculum and Service Outreach

- Group VIII Courses: The University's General Education Requirements include Group VIII: Ethics and Human Values (formerly Perspective 5). The courses that satisfy this requirement are offered in many departments across campus. The Group VIII requirement can be met with selected courses from political science, philosophy, liberal studies, history, or modern and classical literature. A full description of these requirements is on the [Center for Ethics website](#).
- [Debating Science Online Resource Center](#)<sup>xxi</sup>: Debating Science is an interdisciplinary and inter-institutional project designed to develop, test, refine, and make widely available a new interdisciplinary model for teaching applied ethics.
- [Native American Studies](#)<sup>xxii</sup> (NAS): This academic department's mission is "to teach critical skills of writing, research, communication, and analysis which focus on the subject matter of American Indian history, literature, ecological views, language, spiritual belief systems, philosophy and contemporary concerns; and to teach about cultural diversity from the perspective of indigenous people of this country." Further, NAS asserts, "In addition to the primary academic components relating to teaching and research, the department takes as part of its mission, mentoring and supporting NAS majors and minors as well as Native American students outside the major. NAS works with Native American communities and organizations (on and off campus) as requested when appropriate." In addition, a number of grant funded programs exist to support Native students such as the Sloan Scholars Program.



**The Newly Constructed Payne Family Native American Center**

- Research coursework features ethical considerations campus-wide. Examples include:
  - Undergraduate Research Ethics Online Resource Center: The purpose of this research center is to provide a critical foundation for understanding ethical conduct in research and to inform students of their responsibilities as scientists, researchers, and citizens.
  - Undergraduate Research Courses: The Davidson Honors College offers the Research Portfolio Seminar. This course is designed to assist undergraduate students with their independent research projects. This seminar enables students conducting research in separate disciplines to apply the intellectual strategies and to explore the ethical concerns common to research in most disciplines.
  - School of Public and Community Health Sciences: The study of ethics is incorporated into healthcare studies courses. An emphasis is placed upon incorporating ethics into practice and research. For example, the following are specific classes taught:
    - Ethical Issues in Public Health: Explores the values and moral issues that underlie U.S. public health policies. The course examines ethical decision making in areas such as policy development, research, environmental health, occupational health, resource allocation, and genetics.
    - Rural Health Issues in a Global Context: Analysis of public health themes. Focus on rural concerns and transnational influences. Includes human rights, health equity, mobile and vulnerable populations, and transnational competence.
  - Leadership and Specialty Curriculum and Instruction: The following are examples of classes that build competencies and understanding in specific fields of study:
    - Philosophy 443E Ethics and Public Affairs: Examination of morally relevant issues in government, journalism, education and other social institutions. Issues considered include deception, confidentiality, conflicts of interest, privacy, paternalism, responsibilities in conflict with other institutions and responsibilities across national boundaries, among others.
    - C&I 595 Indigenous Ways of Knowing: An experimental graduate course in the College of Education and Human Sciences as part of an online M.Ed. program.
    - Pharmacy 514E Case Studies in Pharmacy Ethics: A practical discussion of pharmacy ethics, as it relates to pharmacy practice.
  - Pre-Medicine Curriculum: The Institute of Medicine and Humanities (a partnership between UM and St. Patrick Hospital), supports an

experimental course through the Davidson Honors College (HC 395 Health Professions Preparation and Overview, 2 credits). This popular course examines career issues including medical ethics, legal issues, the health care system, professionalism, and personal wellness and balance in the workplace.

### **Technology Transfer, Research, and Sponsored Programs**

- **Online Research Ethics Course:** This course was developed through the Practical Ethics Center at the University of Montana with the Office of Research Integrity (ORI). The course exposes investigators and graduate students to the kinds of ethical issues and federal requirements they encounter throughout their careers and prepares them to deal with those issues and solution requirements.
- **Principal Investigator (PI) Training:** Mandatory training is required for researchers in the following topics: pre- and post-award grant management, intellectual property, and conflict of interest and misconduct in science compliance. Any UM faculty or staff member who anticipates submitting grant or contract applications on behalf of The University of Montana must complete this training prior to submittal. If a PI does not submit for two years following PI Training, the training must be retaken prior to any proposal submittal.
- **Institutional Animal Care and Use Committee (IACUC):** The University of Montana Institutional Animal Care and Use Committee is required by law to provide oversight for all animal care and use activity at the University. Care and use of animals for teaching or research purposes are the most common activities. The Department of Laboratory Animal Resources (LAR) provides the necessary services and information for proper, humane care and use of animals whether for wildlife studies, biomedical research, instructional purposes or other venues. LAR must be contacted before animals can be used for any purpose related to University functions or activities.
- **Institutional Bio-Safety Committee (IBC):** This committee reviews, approves, and maintains a record of all research and teaching activities by faculty, staff, and students, involving hazardous biological agents, toxins, human cell lines, and recombinant DNA molecules (see list below). The IBC must ensure that all activities involving these materials and the facilities used to conduct such research are in compliance with current external regulations and applicable UM policies.
- **Institutional Review Board for Use of Human Subjects (IRB):** As federally mandated and required by UM policy, all researchers and individuals involved in project activity must complete a self-study course in human subject protection. This requirement may be satisfied by taking one of the following three courses within the last three years.
  - Option 1: Collaborative Institutional Training Initiative (CITI)
  - Option 2: Protecting Human Research Participants
  - Option 3: The University of Montana: Online Research Ethics Course.

- Alleged Misconduct in Research: [UM Policy 701, regarding Alleged Misconduct in Research and Creative Activities<sup>xxiii</sup>](#), establishes an administrative process for dealing with misconduct in research and creative activities, or allegations thereof ([Exhibit OSM 9-03](#)). In addition, the policy is incorporated into the mandatory PI training.
- Code of Ethics of the American Anthropological Association: As referenced in [UM Policy 707<sup>xxiv</sup>](#), University personnel working with indigenous peoples are expected to adhere to Section III. A. of the Code of Ethics of the American Anthropological Association. If requested by the University, the principal or lead investigator must be prepared to certify that advance permission has been obtained from appropriate individuals or groups of the indigenous peoples to be studied and that the research procedures comply with all applicable tribal, state, and federal laws ([Exhibit OSM 9-03](#)).
- The National Health Institute (NIH): NIH, which funds many research projects at the University, changed its public access policy to comply with a new federal law in 2008. NIH requires that the authors' final version of any peer-reviewed journal article resulting from NIH-funded activities be submitted to the PubMed Central (PMC) repository, where it will be made available to the public within 12 months after the journal article is published.

### **Academic, Human Resource, Health, and Financial Data**

The University of Montana's personnel records and proceedings, employee health information, student records, and healthcare information remain confidential as prescribed by law, and are not subject to public disclosure. In addition, the following are examples of efforts to protect the integrity of data relating to student and employee records.

- The Internal Control Committee: This committee develops and facilitates the implementation of a process that documents the internal control systems of the University. The committee has also created a web-based tool whereby managers can assess their internal control vulnerability.
- Identity Theft Prevention Task Force: Reporting to the President, this task force implemented the Federal Trade Commission's Red Flag Rules at The University of Montana. A written program was designed to detect, prevent, and mitigate identity theft in connection with a covered account, as defined by regulations.
- Phishing Educational Program: Phishing is a criminally fraudulent process of attempting to acquire sensitive information such as user names, passwords, and credit card details by masquerading as a trustworthy entity in an electronic communication. The campus receives over three million email messages each day, but only 85,000 actually make it through the Barracuda spam filter. However, in response to a severe phishing incident, the University's Identity Theft Prevention Task Force implemented a campus-wide education program that resulted in a sustained reduction in student and employee responses to phishing requests.

- **Fraud Prevention Awareness Training:** In the summer of 2008, The University of Montana participated in a seminar that was broadcast over the state's teleconferencing system (Vision Net) at 12 locations and attended by approximately 500 state and University employees.

### CONTINUOUS REVIEW AND IMPROVEMENT

The University of Montana has pursued a number of avenues to continuously improve its ability to operate in an ethical manner. The University reviews policies in response to changes in law, external circumstances, administrative changes, or issues that arise in the context of implementation, and many policies and procedures are reviewed on pre-determined schedules. For example, due to the bargaining cycles, collective bargaining agreement language is reviewed and updated regularly. In addition, the Office of the Commissioner of Higher Education periodically completes a comprehensive Board of Regents' policy review. [BOR Policy 203.3.3<sup>xxv</sup>](#) authorizes the Commissioner or his/her designee to edit existing policies when the edits do not result in any substantive revision of the policy. Policies requiring changes beyond the authority of the Commissioner are brought forward for the Board of Regents consideration.

[BOR Policy 1300.1, Security of Data and Information Technology Resources<sup>xxvi</sup>](#), states that the security of data and information technology resources must be reviewed no less often than every three years. In addition, committees are often tasked with a set of policies to review. For example, an essential component of the [Quality of Work-Life Council's<sup>xxvii</sup>](#) charge is to periodically assess and recommend policies to improve the culture of UM.

Another aspect of continuous review and improvement is the proactive practice assessment and change implementation when needed. For example, The [Internal Control Committee<sup>xxviii</sup>](#) is charged with creating tools and procedures that provide an ongoing review of business practices before a breach in the University's ethics standards or applicable laws occurs. This committee created an online survey that department managers can complete to assess their control systems. These efforts are meant to create accountability for managers to monitor existing process/practices, to ensure the systems are working as intended, and to report on those that do not meet standards. The committee makes recommendations to the President to ensure administrative awareness of its findings.

As a result of a review of athletic policies and procedures, a revised student-athlete recruiting policy now includes a Recruiting Advisory Board composed of the Associate Athletic Director, the Faculty Athletic Representative, and another faculty member. This Board advises the coaches, the Director of Intercollegiate Athletics, and the President concerning the admission of recruits who may present academic or behavioral challenges.

[Internal Audit<sup>xxix</sup>](#) is another integral part of The University of Montana. This department, on a continuing basis and in accordance with the audit plan approved by the President, performs financial and management audits of departments, programs, and other organizational entities of the University. Internal audit findings and recommendations are submitted to the President of the University, who then submits the report to the Board of Regents according to [BOR Policy 930.1<sup>xxx</sup>](#). If a violation of institutional or system policy is discovered, the Internal Auditor serves as a campus liaison. The Internal Auditor works

with external auditors/representatives to conduct audits or fiscal reviews of University activities for federal or non-federal agencies.

Another example of proactive assessment is the information technology network vulnerability assessment that was completed in the summer of 2008. This assessment was coordinated through the Northwest Academic Computing Consortium. The process involved scanning network ports with a series of known exploits to determine security vulnerabilities. This resulted in a number of recommendations for the campus on revisions in policies, practices and/or the development of educational programs to improve security that aligns with federal guidelines.

### ACCURATE AND CONSISTENT COMMUNICATIONS

The University of Montana strives for excellence in all its endeavors, including creating and sharing new knowledge and serving the public. The University is committed to accurate and direct communication with students, faculty, staff and the public regarding the operations of the University and its accomplishments, achievements and challenges. Various mechanisms are employed, utilizing both print and electronic media (e.g., publications, websites, and official statements). No matter the vehicle of communication used, University personnel are committed to achieving the highest standards of accuracy and consistency in such materials and messages.

[University Relations](#)<sup>xxxix</sup> serves as the official conduit for news releases and other information distributed to the media and as a resource for other University departments. The office conveys information about the University's mission, goals, programs, faculty, staff, and students to a number of audiences including parents, alumni, legislators, and the general public. The office produces a number of publications, in cooperation with the Alumni Association, the UM Foundation, and Athletics. In addition to the University's website, the following are examples of communications produced on campus:

- *Main Hall to Main Street*
- *The Montanan*
- *Montana's Agenda*
- *ForUM*
- *News Releases*
- *President's Report*
- *Research View*
- *TGIF News*
- *UM Style Guide*
- *Vision*

The President is the official spokesperson for the University regarding significant matters of policy and public interest. In the absence of the President, the University Executive Vice President becomes the spokesperson, or other designated individuals play this role. The University complies with state and national laws relating to publications. For example, [UM Policy 602: Media Relations](#)<sup>xxxix</sup> provides guidance to the campus regarding how to respond to media requests ([Exhibit OSM 9-03](#)). In addition, [Montana Code Annotated Title 2, Chapter 3](#)<sup>xxxix</sup> specifically provides for the rights of public participants and requirements for open meetings and records that create the basis for the University's actions and interactions with the public regarding its operation as a state university.

The University community is affected by copyright legislation in many different ways. The Mansfield Library publishes on its website a [Copyright Issues and Resources](#)

## STANDARD NINE: INTEGRITY

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[Guide](#)<sup>xxxiv</sup> for faculty, staff, and students. This guide is intended to provide needed information and resources to effectively navigate copyright concerns.

The University of Montana has invested considerable effort into revising website practices to ensure that all department web pages reflect the University's culture, values, and institutional character. The campus community has worked together to create a consistent visual image of the University by using standardized logos, letterhead, business cards, envelopes, and other printed materials. The updated [Graphics Standards Manual](#)<sup>xxxv</sup> encourages the continuation of this process. In addition, the University has invested in a new content management system which enables standardization of templates used for all web pages. This new technology is user-friendly and requires minimal technical skills for content and graphics editing. The University has also created training programs in the use of the new content management template for all interested faculty and staff.

Implementing effective communications for changes in policies, procedures and practices is always a challenge for a large, diverse organization. To assist with these efforts, the University's Human Resource Services department created a Communication Plan template to provide a communication process and framework for different stakeholders, departments, and employees. In addition, when implementing changes or attempting to engage feedback, the University uses "town hall" style meetings and outreach to key committees.

Many separate entities make up the diverse and complex organization we know as the University, yet none of these parts stands alone. It is the expectation that all employees share the responsibility to ensure that communications are accurate, accessible and reflect the excellence inherent at The University of Montana.

### CONFLICT OF INTEREST

The Board of Regents has several policies that govern conflicts of interest for Montana University System employees and supplement state ethics laws ([Exhibit RE 9-02](#)). Employees of the Montana University System "must endeavor to avoid actual or apparent conflicts of interest between their university system duties and obligations and their personal activities, and between their university system duties and obligations and their professional activities outside the university system." Each unit of the Montana University System is required to maintain a written conflict of interest policy consistent with BOR policies and state law. Annual disclosures of conflicts are required as well as the management and oversight of disclosed conflicts. An annual report is sent to the Board of Regents summarizing efforts that each campus has taken to train employees and assess and manage conflicts of interests.

Also included in [Exhibit RE 9-02](#) is [UM Policy 410](#)<sup>xxxvi</sup> regarding conflicts of interest. The policy includes higher standards than required by the Board of Regents policies. Specifically, the policy requires employees in a .5 FTE or greater position to disclose any actual or potential conflict of interest in sponsored research, professional activities, and in work-related family relationships. If a conflict of interest is verified, a written plan to manage the conflict is established in collaboration with UM Legal Counsel and the department director or dean. The policy also requires that all employees complete a conflict of interest training program. In 2008, an online conflict of interest educational program was initiated which enables all employees to complete this requirement. In

addition, UM Legal Counsel has completed training for all lead and principal investigators for sponsored research programs.

### ACADEMIC FREEDOM

The University community accords the highest priority to the rights and opinions of all. As a free marketplace of ideas, the campus brings together diverse cultures and views of people of the state, nation, and world. The University does not condone limits upon freedom of expression or opinion but expects people to respect the rights of others. Freedom of inquiry in academic pursuits is guaranteed at The University of Montana. In writing and in practice, the University adheres to the American Association of University Professors (AAUP) guidelines on academic freedom. The commitment to academic freedom is also reflected in The University of Montana's Vision Statement:

#### Vision Statement

*We will prepare students for success by creating an environment of ideas and excellence that nurtures intellectual, social, economic, and cultural development. We will hold academic quality to be the prime attribute of our institutions, allocating human, physical, and financial resources appropriate to our educational mission. We will encourage scientific development and technology transfer, interactive information systems, economic development and lifelong learning. We will protect academic freedom, practice collegiality, encourage diversity, foster economic prosperity, and be accountable, responsive, and accessible to the people of Montana.*

The University's commitment to academic freedom is specifically stated in [Board of Regents Policy 302<sup>xxxvii</sup>](#) and in the [UFA Collective Bargaining Agreement](#), Section 6.000 and in [UM Policy 101.4<sup>xxxviii</sup>](#) ([Exhibit RE 9-01](#)). All faculty employed by The University of Montana enjoy certain rights and responsibilities. The faculty of the School of Law is governed by the rules established within that unit. All other faculty is governed by Section 6.000 of the UFA CBA, reflected in UM Policy 101.4:

*The University of Montana has had a long tradition of, and a deep commitment to, academic freedom. The welfare and strength of the University and of society at large depend upon the free search for truth and its free expression. To this end, The University of Montana shall recognize and protect full freedom of inquiry, teaching, research, discussion, study, publication, and for artists, the creation and exhibition of works of art, without hindrance, restriction, equivocation, and/or board or Administration reprisal. This right extends to other facets of campus life to include the right of a faculty member to speak on general educational questions or about the Administration and operation of his/her own institution and the Montana University System. The right of academic freedom shall be the right of every faculty member whether tenured or untenured.*

The University encourages faculty to offer a wide variety of courses. The [Academic Standards and Curriculum Review Committee<sup>xxxix</sup>](#) (ASCRC) continually studies the

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academic standards and curriculum of the University to identify opportunities for improvement. This committee comprises 12 faculty members, five students, the Provost and Vice President for Academic Affairs (*ex officio* and nonvoting), and the Registrar (*ex officio* and nonvoting) who serves as recorder. In addition, faculty and students regularly participate in national and international gatherings, and diverse viewpoints are represented by campus speakers and cultural events.

### SUMMARY

The University of Montana's character and culture is based on a core belief that authentic integrity is reliant on each individual's inner code of conduct that guides behavior and decisions. With that belief in mind, policies, procedures and programs have been developed to create a shared understanding of appropriate conduct for decision making and actions which are aligned with the University's commitment for institutional excellence. The following are specific accomplishments and strengths that have been identified in the self-study. The University of Montana:

- Demonstrates continued commitment to grow and develop diversity initiatives that result in a culture that is welcoming, respectful and collaborative;
- Continues to expand and grow sustainability initiatives through a number of operational, academic and global practices and programs;
- Develops clear guidelines and policies concerning ethical behavior of administrators, the Board of Regents, faculty, students, and staff. These guidelines are published, and training is provided as needed;
- Evaluates and updates its policies as needed to reflect current issues, laws and changes in technology;
- Ensures that publications and websites reflect accurate information;
- Provides the training and operational oversight to ensure that conflicts of interest are disclosed and effectively managed; and
- Supports faculty and students in regard to Academic Freedom and integrity in the research and learning process.

**WEBSITES REFERENCED**

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- <sup>i</sup> The Strategic Directions for The University of Montana:  
<http://www.umt.edu/president/strategic.aspx>
- <sup>ii</sup> BOR Policy and Procedures Manual: <http://mus.edu/borpol/default.asp>
- <sup>iii</sup> UM Policies: <http://www.umt.edu/policies/>
- <sup>iv</sup> MCA 2.2, Administration Standards of Conduct:  
[http://data.opi.state.mt.us/bills/mca\\_toc/2\\_2.htm](http://data.opi.state.mt.us/bills/mca_toc/2_2.htm)
- <sup>v</sup> UFA Collective Bargaining Agreement:  
<http://www.umt.edu/provost/facultyinfo/docs/UFACBA.pdf>
- <sup>vi</sup> COT Faculty Collective Bargaining Agreement:  
<http://www.umt.edu/provost/facultyinfo/docs/COTCBA.pdf>
- <sup>vii</sup> MUS collective bargaining agreements: <http://www.mus.edu/hr/cba/collbarg.asp>
- <sup>viii</sup> Student Rights Section of 2009-2010 Course Catalog:  
<http://www.umt.edu/catalog/eso/services/rights.html>
- <sup>ix</sup> UM Student-Athlete Handbook:  
<http://www.montanagrizzlies.com/pages/default.aspx?p=75&m=286>
- <sup>x</sup> University Athletic Committee: <http://www.umt.edu/committees/universityathletic.aspx>
- <sup>xi</sup> Center for Ethics: <http://www.umt.edu/ethics/>
- <sup>xii</sup> Academic Court: <http://www.umt.edu/committees/academiccourt.aspx>
- <sup>xiii</sup> ADA Team: <http://www.umt.edu/committees/americansdisabilities.aspx>
- <sup>xiv</sup> Diversity Advisory Council: <http://www.umt.edu/committees/diversity.aspx>
- <sup>xv</sup> UC Diversity Programming/Multicultural Alliance:  
[http://life.umt.edu/UC/ucsi/diversity\\_program/default.php](http://life.umt.edu/UC/ucsi/diversity_program/default.php)
- <sup>xvi</sup> Hazing & Harassment Hotline: <http://life.umt.edu/diversity/haze.php>
- <sup>xvii</sup> UM Allies Program: <http://life.umt.edu/diversity/umallies/>
- <sup>xviii</sup> Partnership for Comprehensive Equity (PACE) Program: <http://pace.dbs.umt.edu/>
- <sup>xix</sup> Sustainable Campus Committee: <http://www.umt.edu/committees/sustaincomm.aspx>

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- <sup>xx</sup> Office of Sustainability (Greening UM): <http://www.umt.edu/greeningum/default.aspx>
- <sup>xxi</sup> Debating Science Online Resource Center:  
<http://www.umt.edu/ethics/Debating%20Science%20Program/debatingscienceresourcecenter/default.aspx>
- <sup>xxii</sup> Native American Studies Department: <http://www.cas.umt.edu/nas/>
- <sup>xxiii</sup> UM Policy 701, Alleged Misconduct in Research: <http://www.umt.edu/policies/700-RandD/allegedmisconduct.aspx>
- <sup>xxiv</sup> UM Policy 707, Indigenous People: <http://www.umt.edu/Policies/700-RandD/indigenous.aspx>
- <sup>xxv</sup> BOR Policy 203.3.3, BOR Policy and Procedure: <http://mus.edu/borpol/bor200/203-3-3.pdf>
- <sup>xxvi</sup> BOR Policy 1300.1, Security of IT : <http://mus.edu/borpol/bor1300/1300-1.htm>
- <sup>xxvii</sup> Quality of Work-Life Council: <http://www.umt.edu/hrs/qualityworklife/>
- <sup>xxviii</sup> Internal Control Committee: <http://www.umt.edu/committees/internalcontrol.aspx>
- <sup>xxix</sup> Internal Audit: <http://www.umt.edu/iaud/>
- <sup>xxx</sup> BOR Policy 930.1, Internal Audit Reports: <http://mus.edu/borpol/bor900/9301.htm>
- <sup>xxxi</sup> University Relations: <http://www.umt.edu/urelations/>
- <sup>xxxii</sup> UM Policy 602: Media Relations: <http://www.umt.edu/policies/600-PublicRelations/news.aspx>
- <sup>xxxiii</sup> MCA 2.3, Nepotism: [http://data.opi.state.mt.us/bills/mca\\_toc/2\\_3.htm](http://data.opi.state.mt.us/bills/mca_toc/2_3.htm)
- <sup>xxxiv</sup> Mansfield Library Copyright Issues and Resources Guide:  
<http://libguides.lib.umt.edu/copyright>
- <sup>xxxv</sup> UM Graphics Standards Manual: <http://www.umt.edu/urelations/standards/>
- <sup>xxxvi</sup> UM Policy 410: Conflict of Interest and Financial Disclosure:  
<http://www.umt.edu/Policies/400-HumanResources/conflictinterest.aspx>
- <sup>xxxvii</sup> BOR Policy 302: Academic Freedom: <http://mus.edu/borpol/bor300/302.pdf>
- <sup>xxxviii</sup> UM Policy 101.4: Rights and Responsibilities of Academic Personnel:  
<http://www.umt.edu/Policies/100-AcademicAffairs/RandR-AcadPersonnel.aspx>
- <sup>xxxix</sup> ASCRC: <http://www.umt.edu/facultysenate/committees/ASCRC/default.aspx>