

# Chapter 12

## Institutional Integrity

**Criterion Five: *Colorado State University demonstrates integrity in its practices and relationships.***

### Introduction

Integrity is demonstrated when "an institution adheres both to the civil laws and to the code of ethics commonly accepted by the academic community" (*NCA Handbook of Accreditation*, 1997). Integrity is reflected by the nature of relationships of students, faculty, and staff with each other and with the University; high ethical standards in research, teaching and service; core values included in official University documents; well-defined policies and practices related to equity and diversity; compliance with professional standards and legal requirements; and relationships of the University with outside groups, including contractual and business relations. CSU has shown a commitment to, and demonstration of, institutional integrity, and the expectation of high ethical standards is pervasive throughout the institution.

*A leading institution for encouraging student character development.*

### CSU's Commitment to Integrity

CSU's commitment to institutional integrity in the broadest sense is reflected in the vision statement for the University:

Colorado State's learning community is grounded in intellectual curiosity and high ethical standards empowered by personal integrity and respect for the diversity of peoples and cultures.

One of the three overarching principles (discussed in Chapter 5) that guides CSU's planning and decision-making processes illustrates how this vision is put into practice:

Decision making must be driven by people and processes of integrity and marked by communication that is open, direct, honest, and often.

Three of the nine distinctive characteristics of CSU discussed in Chapter 5 have direct relevance to issues addressed in this chapter: Academic Freedom and Integrity, Community, and Diversity. Further, the *General Catalog* lists two of the University's Aims as "Assure the growth and development of University students, staff, and faculty," and "Assure full participation of individuals from the pluralistic society in which we live as equal partners in the life of the University".

The commitment to respecting and promoting a diverse campus environment is reflected through ongoing efforts at all levels of the University and was formalized in the *CSU Diversity and the University Community: A Plan for Action, 1998-2003* and in the Diversity element of the USP:

Colorado State University is committed to enhancing its diversity, in all its forms, through different ideas and perspectives, age, ability, race, ethnicity, gender, sexual orientation, religious beliefs, and the socioeconomic and geographic composition of its faculty, staff, and students. The University is committed to institution-wide participation of all in an environment supportive of the mutual benefits to be gained and unique needs to be addressed.

Moreover, consistent with its land-grant mission, the University has renewed its efforts to support civic education and renewal. This commitment was formalized in the Civic Education and Civic Renewal element of the USP:

Create and implement focused initiatives and programs that establish civility and respect as campus values and priorities; assist students in becoming people of integrity who demonstrate strong ethical values; encourage all University members . . . to participate in a campus environment that is respectful, service-oriented, open-minded, intellectually honest, and committed both to individual success and community development.

This key strategy included creating a Commission on Civic Education and Civic Renewal; implementing a University Compact that articulates the institution's enduring values and principles; enhancing the academic experience of students by integrating principles of civic education and civic responsibility in the classroom and in co-curricular settings; assuring University community development; and engaging in on-going public dialogue about the unique responsibilities of life in a democratic society.

## **Campus Character**

Integrity and character are demonstrated at CSU through the relationships among students, faculty and staff, and the relationships of these groups with the University. CSU is composed of many communities within the larger community, working to achieve the atmosphere of a smaller campus. Students, faculty and staff can connect and build relationships through their academic colleges, residence halls and other living units, organizations, or committees. Forming positive and productive relationships is a challenge and an opportunity for every community member at CSU.

## **Student Relationships**

### **Student Character Development**

CSU was selected for the Templeton Foundation Honor Roll (1997 and 1999) that recognizes the top 100 colleges and universities for their overall record of commitment to inspiring students to lead ethical and civic-minded lives and displaying best practices in character development. *The Templeton Guide: Colleges that Encourage Character Development* applauded CSU's volunteer service and curricular programs that strengthen students' moral reasoning skills and their ability to make ethical decisions. One such program is **The Ethics Workshop** that engages students, faculty and staff in dialogue about

contemporary moral and ethical issues. The program is designed to help participants discover and clarify personal values, move across cultural boundaries, and act ethically in an increasingly complex global society. Thousands of students have participated in this workshop since its inception, and the program has been presented at national conferences and used as a model at other institutions.

CSU has adopted a code of student conduct that describes and reinforces the University's mission, educational atmosphere, and discipline on the campus. The code contains guarantees for the basic elements of due process, academic honesty, respect for privacy rights of students, and contributes to a common understanding of unacceptable behaviors. Gender-neutral language is evident in student resource documents. Resources that describe academic and other policies relevant to students are numerous, easily accessible via the Internet and in print.

The *Student Rights and Responsibilities* are available in many publications including the *General Catalog*, student handbook, and safety brochure. Student rights are emphasized and protected throughout the conduct and appeal processes, utilizing due process procedures. Campus officials dealing with legal and disciplinary matters are trained and stay current with state and federal legislation regarding safety, security and legal matters. High standards of personal integrity form the basis of expectations for student conduct:

Colorado State University expects students to maintain standards of personal integrity that are in harmony with the educational goals of the institution; to observe national, state, and local laws, and University regulations; and to respect the rights, privileges, and property of other people (*Student Rights and Responsibilities*).

CSU has a well-defined student judicial hearing process, and there are a low number of appeals. Through the judicial process students are educated, receive sanctions and support in order to change future behavior. The recent reorganization of the Conflict Resolution and Student Conduct Services Office demonstrates the philosophy of helping members of the CSU community resolve difficulties at the lowest level possible. This reorganization was based on the ideal of empowering the campus community to act concretely on the value of civility and to select from a myriad of options and approaches that will maximize individual student success and community standards. An emphasis is placed on training in such areas as mediation, dealing with difficult behavior, classroom management, de-escalation strategies, and academic dishonesty. Intervention and mediation services are available to residential communities and other groups experiencing conflict. The current model facilitates the process of students making amends for harm (restorative justice) and provides education and referrals for students to support their educational and personal success.

CSU has also begun a significant outreach program to parents and families, providing education on drug and alcohol use and informing them of available resources and

notification policies. Parents and families are viewed as partners and have a significant role in the efforts to educate students and encourage them to demonstrate responsible behavior.

### **Student Leadership**

A wide variety of leadership programs are available to CSU students to support development of leadership skills. The President's Leadership Program, a prestigious year-long program for developing student leaders, enables students to feel more connected to the University, the community, and each other. The leadership and diversity programs are infused throughout the University experience. They reach a large number of students from diverse backgrounds, use a variety of formats, and tend not to be elitist in design or implementation. Additional leadership opportunities include the Multicultural Leadership Retreat, the Colorado State Leadership Institute, the University Leadership Conference, Peak Leadership Adventure, the Students as Leaders in Science Program, and ROTC, among others. In the residence halls, students actively participate in their hall's student government organization and educational programming opportunities. These activities provide experiences in leadership development and co-curricular education that supplement classroom instruction and greatly enhance the quality of on-campus University life.

Greek Life offers its 1,800 students a unique opportunity to have a balanced college life with a focus on academic excellence, brotherhood/sisterhood, community service, responsible social interaction, and leadership skills. Students gain experience in governing and managing their own living environment and leading organizations. Approximately 30 students per semester take a 2-credit leadership course covering topics such as diversity, ethics, and strategic planning. A Greek Life Task Force with strong student representation was organized in late 2001, and a series of improvements were generated based on concerns identified from its assessment process. One improvement stipulated that all new members attend an annual New Member Leadership Conference with topics to include ethnic and cultural diversity and citizen responsibility in a global community. For increased engagement, the Task Force recommended that 50% of a fraternity or sorority's membership be involved in at least one additional activity at the University or in the local community.

### **Building Community through Student Organizations**

A wide variety of opportunities for student involvement exist at CSU, and it is easy to find a niche with over 250 student organizations on campus. Social norms exist within these organizations that emphasize respect for others, an orientation toward service, and a sense of community. DSA has assisted student organizations in the process of articulating the expectations that they have for themselves and others within their organization.

CSU collaborated with the Greek Community to produce a Statement of Expectations that is mutually agreed upon by both the University and the individual Greek chapters. The final document resulted in a 20-point list of expectations. The first statement entitled “Integrity” lays the foundation and calls upon the Greek community to put words into action. The remainder of the document outlines expectations for academic success, social responsibility, facility management, safety, and community involvement. A Greek judicial process has been developed and is fully utilized when Greek organizations have been charged with policy violations. A student organization judicial process is being developed to maintain consistency among Greek Life and other student organizations when policies have been violated by groups of students. The Greek website <[kiowa.colostate.edu/cwis377/](http://kiowa.colostate.edu/cwis377/)> includes constitutions, bylaws, expectations and options for involvement.

### **Safety and Security**

CSU has effective campus communities that support students by paying close attention to issues of safety and security. At CSU the University Police Department has taken the lead in identifying situations or events that may require a rapid response to protect life and safety. The University fully complies with the Higher Education Campus Safety Act by publishing and distributing information with safety, crime statistics and policies in hardcopy as well as on the Internet. A daily police report lists reported incidents and is available to the University community. This information is also published in local newspapers, which alerts the campus community of potential safety threats.

The University places an emphasis on prevention, and Housing works collaboratively with CSU police officers to conduct educational and prevention programs as well as to respond to potential policy and legal violations. The Victims Assistance Team, managed by the Office of Women’s Programs and Studies, provides significant training, educational programs, and crisis response and support to victims. This well supervised and coordinated team consists of faculty, staff and students. CSU also sponsors student patrols and safe walk programs, and members of the campus community hold annual night walks to identify areas in need of better lighting.

To create a campus community that is safe and welcoming for all students, it is important to understand and respond to the negative experiences that students of different races, religions, sexual orientation, abilities, etc. may face on campus. The Healing Action Response Team (HART) consults when an incident occurs. This team is composed of persons from the Advocacy Offices, University Counseling Center, Housing, International Programs, and Conflict Resolution and Student Conduct Services. Team members have been trained in a Social Justice Mediation model in addition to bringing professional expertise to the team. The

team is briefed about the event and then develops a plan for response that can include use of a range of services, from group discussions or mediation to a formal hearing.

Environmental Health Services (EHS) is responsible for assuring environmental, occupational health, and safety services through education, consultation, monitoring and planning in response to present and future needs of CSU. The staff conducts training in the handling and use of hazardous materials. This unit has greatly improved its functioning over the past five years by adding personnel and expanding its training sessions. Training materials and other information useful to researchers working with hazardous substances can be found on the EHS website. Academic units have also contributed expertise to address campus safety concerns. Using an applied research model, several graduate students in the Department of Environmental Health have studied environmental safety issues for their master's theses. All divisions of the campus participate in activities to identify actions for improving the safety of campus. Several coordinating committees, including the Emergency Response Committee, meet on both a regular and ad hoc basis to deal with ongoing issues and events, such as 9/11, Y2K, and anthrax scares that require preplanning and dedication of resources.

In the past year the University committed nearly a million dollars for a new system that greatly enhanced security in the Residence Halls. The 2002 ACUHO-I/EBI Resident Life Assessment Study ranked CSU first among its six selected peer institutions for student satisfaction with how safe they feel in their rooms and in their residence halls, and second for how safe they feel when walking on campus at night. In the same assessment in 2003, CSU was ranked fourth in these three measures. The 2003 ACUHO-I/EBI Apartment Life Assessment Study ranked CSU first among its six selected peer institutions and all 21 participating schools in the same Carnegie class for their perceptions of safety living in their apartment, security of possessions, and comfort relying on neighbors in an emergency.

In addition to physical safety, CSU provides security for personal information. CSU is in the process of purchasing a new student information system that will allow transition from use of 9-digit numbers (usually Social Security numbers) to more flexible use of EIDs (electronic identification designations). This change will enable the University to comply with State law. CSU has also changed its grade posting policies, discontinuing the practice of grade postings that display personal information, in compliance with the Family Educational Rights and Privacy Act. Assignment and exam grades are commonly posted in WebCT. Final course grades are now available electronically through *RamWeb* by the third business day following the final examination period.

### **Academic Transcripts: Policies and Practices**

As part of its ethical relationship with students, the University provides assurance that academic records are accurate and up-to-date. CSU conforms to the *Adequate Transcript*

*Guide* of the American Association of Collegiate Registrars and Admission Officers. The University's registration and grade posting processes provide course and grade information as displayed on the official transcript. Calculations of term and cumulative credits and GPAs are included. In addition to course and grade information, credential information that includes completed degrees, majors, minors, concentrations, specializations, ISPs, teacher licensure notations, and awarded honors are also displayed, as well as summary data regarding transfer credit accepted. Students and alumni can easily obtain official transcript copies by submitting a written request with the appropriate fee. Transcript request forms are available in the Registrar's Office and on their website, or a simple written request providing the required information is also acceptable.

CSU recognizes that even the best-prepared students may encounter personal circumstances during their academic careers that can have a detrimental effect on their academic records. To provide support for students in these circumstances, policies have been developed that encourage academic success and allow for special circumstances. Under the Academic Fresh Start policy, students who return to the University after a hiatus of five years or more may choose to have all prior grades removed from their GPA calculation, although the courses are still displayed on the transcript. Under the Repeat/Delete policy, students can choose to repeat a limited number of credits and have the original grade removed from the GPA calculation. The original courses and grades continue to be displayed on the transcript.

## **Faculty and Staff Relationships**

A broadly shared value system among faculty and staff establishes integrity and quality as the expected norm for teaching, research and service activities. These values are reinforced in University documents, communications, and policy statements. The *AF&AP Manual* (Section D) outlines responsibilities of faculty and administrative professionals in relationships with students, peers, the University, and the larger community.

## **Conflict Resolution**

Section K of the *AF&AP Manual* provides for a grievance process and the use of mediation in resolving conflicts. Individuals are expected to attempt mediation of their grievable conflicts prior to filing a formal grievance complaint. The persons responsible for conducting mediation under this section are referred to as University Mediators. Individuals serving in this role are either academic faculty or administrative professionals who have the skills, credibility and commitment to enable them to discharge their duties effectively. They must attend periodic mediation training sessions held by experienced mediation professionals. The University Grievance Officer is responsible for coordinating and facilitating the activities of the University Mediators, the Grievance Panel, and the Hearing Committees. This

individual must be a tenured, full-time faculty member with at least the rank of associate professor and not hold an administrative position.

The 2003 annual report on the mediation process indicated that the system was working well following the adoption of new mediation procedures in 2000. The University Grievance Officer reported 22 new cases (some were multiple grievances filed by one or more individuals) for the past year, of which 14 were resolved or dropped without mediation, two were successfully mediated, and three were determined by legal counsel to be nongrievable (filed past the discovery deadline or not involving a grievable action). In the few cases in which mediation was not successful, the grievance process was followed as outlined in the *AF&AP Manual*.

Formal grievance procedures for state-classified personnel are available through Human Resource Services and the Colorado Department of Personnel and Administration <[www.hrs.colostate.edu/info/grievance\\_procedure.pdf](http://www.hrs.colostate.edu/info/grievance_procedure.pdf)>. This process is intended to be a way to resolve a dispute at the lowest possible level. In order to assure an equitable working environment, the employee can have a very broad range of reasons for grieving an action or decision by his or her supervisor. There were approximately 5-10 grievances per year, but only a few were referred to the State Personnel Board.

### **Integrity in Research and Scholarship**

Scholarship and research are governed generally by the codes of ethics and review procedures of various professional organizations and by external agencies supporting research activities. Integrity in scholarship and research is further regulated by the peer review process and by established procedures for the evaluation of faculty and staff. The Office of Regulatory Compliance (discussed in Chapter 9) provides additional oversight of integrity issues and manages the University's Misconduct in Science efforts using committees with faculty membership. This office also provides training and offers assistance with research protocols and compliance issues. The strengths of the systems rest in the numerous checks and balances of professional and academic groups and not by any single regulatory code or office.

CSU has had few cases in which integrity of scholarship and research was called into question. With few exceptions, faculty members hold high standards for their own behavior and uphold the value of integrity in science. In fact, CSU faculty members have made significant contributions to the area of research ethics and have influenced national guidelines, particularly regarding the welfare of animals used in research and teaching.

Scholarly activity often leads to development of new intellectual property (IP). The VPRIT is responsible for the administration of works having potential monetary or commercial value created with University resources and for the selection of internal or external marketing agents who meet the best interests of the inventors or creators and the



University. All arrangements with internal or external agents are stipulated in written agreements approved by the VPRIT and the agent. A comprehensive set of IP policies and procedures is available in the *AF&AP Manual*. The comprehensive nature of these policies enables this system to work well, allowing both the university and its personnel to benefit from their marketable efforts.

### **Integrity in Teaching**

CSU has in place a comprehensive system to promote quality teaching and integrity in related academic relationships. University statements present a comprehensive system of many checks, balances, and controls, as well as motivating factors, for quality in teaching and in all faculty-student academic relationships. Academic integrity as a policy at CSU applies to academic honesty, but the area goes much further to include academic policies, advising, student appeals, and student academic rights.

The Faculty Council Committee on Teaching and Learning (CTL) has given recent attention to the topic of plagiarism and the fundamental values of academic integrity, discussing ways to increase awareness and proactively address issues. Both members of CTL and DSA staff have attended conferences and participated in campus-wide discussions on the increasing use of the Internet in cheating and plagiarism.

Academic integrity is reinforced by maintaining a classroom atmosphere that demonstrates the values of respect and civility. Integrity issues can also form the basis for in-depth class discussions. Many CSU faculty members view the study of values as an essential aspect of undergraduate education and have integrated ethical issues into traditional disciplinary content. Other faculty members have developed courses to address this concept. For example, a faculty member in the Department of Bioagricultural Sciences and Pest Management has collaborated with a colleague in the Department of Philosophy to develop an undergraduate course on Agricultural Ethics, applying ethical reasoning to contemporary agricultural issues.

Faculty and staff in the CVMBS take pride in their responsiveness to students' concerns about animal welfare in education and research, and the College maintains a student and faculty committee that meets regularly to address these concerns. Students in the PVM program face a variety of ethical issues in their training, and the CVMBS considers ethical awareness related to animal welfare as an essential part of the educational process.

### **Integrity in Service and Consultation Practices**

The strengths of service and outreach lie in the motivation of faculty and staff to assume the responsibilities of the public university and to participate in shared governance, in professional societies, and in civic duty. Many of the activities are guided by codes of ethics

of professional associations. Professional colleagues also play an important role in setting the standards of professional conduct that are generally well above those described in official policy manuals.

A large number of faculty members at the University are involved in consulting activities. These activities can be beneficial to the faculty members and the University as well as external groups, but clearly they have the potential to generate ethical challenges. The University policy on consulting activities (*AF&AP Manual*, Section D.7.6) is clearly delineated, and annual reporting and review of such efforts are required. Some academic colleges have even more stringent policies on consulting to avoid potential conflicts of interest. Although the system appears to work well, there is considerable diversity in the nature of faculty consulting activities, and the guidelines are not always clear for individual cases.

## **CSU's Relationships with External Communities**

### **The Fort Collins Community**

The leadership of CSU and the City of Fort Collins interact in a variety of ways to discuss issues of shared interest and concern. The President's Community Relations Committee has been in existence since 1993. The VPAS serves on the Board of Directors of the Fort Collins Area Chamber of Commerce, and the VPRIT serves on the Board of Directors of the Northern Colorado Economic Development Corporation. City/CSU Liaison meetings are scheduled quarterly to facilitate a pro-active approach to resolving issues rather than addressing concerns after they have occurred. Key administrative and student government leaders are directly involved. These sessions have facilitated both effective communication and action.

A community liaison position was created to further improve town-gown relationships. This position has shared funding and joint supervision between the Neighborhood Resources Office of the City of Fort Collins and CSU's Off-Campus Student Services. The goal is to enhance collaboration and communication with neighbors, the city, and the CSU community. Recycling unwanted furniture, seminars on being good neighbors, education about the City's Noise Ordinance, neighborhood clean-ups, and neighborhood celebrations are just a few of the unique programs sponsored by this individual and student volunteers. The "Great Sofa Round-Up" in 2003 was the largest so far with few sofas now remaining abandoned in alleys or left street-side.

CSU participates in the Character Quality Initiative, working with the Character Council of Greater Fort Collins to develop and support initiatives that foster character development, encourage student civic engagement, and build community. The VPSA represents CSU in this community interaction. A character trait is highlighted each month,

and education and programming are focused on each character trait. Faculty, students and staff are recognized for their efforts in demonstrating character on campus and in their communities. In January 2003, CSU met the guidelines to be identified as a Campus of Character.

### **CSU Friends and Donors**

External constituents have become important partners in the educational enterprise through their generous contributions. At CSU, development efforts are led by the Executive Director of Development. This individual works with staff in central development positions along with development directors and administrators in the eight academic colleges, University Libraries, DSA, Athletics, and the President's Office. The purpose of the development office is to support the institutional goals of the University, colleges, and other units by cultivating philanthropic resources and by soliciting donations from a variety of constituents. Advancement Services is charged with the management of the university's constituent information (e.g. alumni, donors, friends). This management encompasses all services, systems, policies, processes, documentation and training associated with collecting, recording, maintaining and disseminating data in support of the university's constituent development efforts.

CSU adheres to national standards set forth by the IRS and Council for Advancement and Support of Education (CASE), the professional organization of development officers. Specifically, Development follows the CASE *Statement of Ethics* which covers actual or apparent conflicts of interest; safeguarding privacy rights and confidential information; and respect for truth, fairness, free inquiry and the opinions of others through words and actions, among others. All newly hired development officers are provided a copy of the *Statement of Ethics* and are expected to honor it. Development believes that philanthropy merits the respect and trust of the general public and adheres to the CASE *Donor Bill of Rights*. These rights include assurance to donors that gifts will be used for the purposes for which they are given and that donors will receive appropriate acknowledgement and recognition. Development also views alumni as vital stakeholders and recognizes their many contributions. Personal information provided by alumni is handled in a professional and confidential manner at all times.

### **Communicating with Constituents**

The University Communications and Marketing Department is dedicated to promoting the people and programs of CSU through effective communication techniques. This unit aims to help build a clear and positive image of CSU in the minds of the people it serves around the state, nation and world. *Comment*, the University's official in-house

newsletter, has long been CSU employees' source of official information about the University. According to a Spring 2002 survey report, 93% of respondents said they read all or at least some of each issue of *Comment*. Further, *Comment*, presents a positive, balanced and informative picture of CSU, according to more than 90% of respondents. *Comment* is one of the University's primary means of communication with faculty and staff and effectively builds morale, support, and communication through providing accurate and current information. *e-Comment* is now distributed daily to the campus community.

Marketing efforts have also resulted in an improved institutional image that is based on communicating the institutional mission. Documents produced by and for the Office Alumni Relations are integral to this effort and include the *Alumni Magazine*, alumni e-letter, and the CSU Alumni Association website. Through Admissions brochures and related publications, emphasis has also been placed on better informing parents and potential students about the academic options available at CSU and the strong student support available. A statewide image survey showed that awareness of CSU in Colorado was at 93% in 2002, up 20 points over the prior year and up more than 40 points over the year 2000.

## **Diversity and Equity of Treatment**

CSU's equity and diversity policies, procedures, and values are reflected in official institutional statements, communications with both internal and external audiences, and institutional initiatives and practices.

## **Institutional Commitment**

The institutional commitment to diversity and equity is integral to the land-grant mission:

CSU believes that diversity is as essential to the University as books, classrooms and laboratories . . . Our campus – as a microcosm of society - works toward the ideal of harmony and a welcoming environment. This environment produces a diverse campus where differences are celebrated and respected within a community of shared beliefs and values (*Context for Planning*).

The USP has included a focus on diversity that restates CSU's commitment to enhancing diversity through expanded efforts in recruitment and retention of diverse students, faculty, and staff; fostering a campus climate that respects and welcomes diversity; becoming increasingly involved in ethically diverse communities in Colorado through K-12 and community outreach programs; and engaging representation from all groups within the University in organizing diversity efforts.

This institutional commitment is demonstrated in *Diversity and the University Community: A Plan for Action, 1998-2003*, the second 5-year diversity plan at CSU. At the time the first 5-year plan was developed, it was one of very few in the nation. The plan was

developed to bring a cohesive systems approach to enhancing diversity at the University in fulfillment of its land-grant mission.

The DCC, chaired by the Vice Provost for Faculty Affairs and co-chaired by the Director of OEO, provides leadership in developing and articulating diversity goals for the campus. All five Vice Presidents and other campus leaders with experience in diversity activities and programs are also members of the DCC. As discussed in Chapter 11, a third 5-year Diversity Plan is currently being drafted by the DCC with campus input. It will identify measurable diversity goals, provide associated timelines, specify individuals/units accountable for specified actions and initiatives, and include a process for evaluating ongoing progress.

## **Communication of Diversity Policies**

The articulation of institutional diversity policies is accomplished through a number of mechanisms, including but not limited to the following (that appear in various official publications and on University websites): the legally mandated Nondiscrimination Policy statement outlining relevant Federal and State laws and Executive Orders; policy statements on Sexual Harassment and Consensual Relations; and an Affirmative Action statement that is included in all position announcements.

Situations involving complaints of discrimination or sexual harassment are brought to the attention of OEO for further investigation. This office provides Sexual Harassment and Diversity Training sessions to University employees on a periodic basis to enhance awareness and foster a more welcoming and respectful campus community. Professional personnel in this office respond to sexual harassment complaints from faculty, staff, and students. Graduate students are considered one of the most vulnerable groups, and contacts with the office have increased as the number of female graduate students has increased at CSU. An average of two complaints by graduate students are filed each year, but an additional six to eight contacts are made through referrals by academic advisors or department chairs/heads.

CSU complies with the ADA which prohibits discrimination on the basis of disability in the areas of employment, public accommodations and services, public transportation and telecommunications. The Director of OEO is responsible for the coordination of University compliance with the ADA. The Office for Resources for Disabled Students and the Assistive Technology Resource Center offer training in disability awareness and the need to provide reasonable accommodation for employees and students. These units also provide academic support and accommodations to students.

## **Institutional Practices and Programs**

Statements of commitment and widespread communication are not sufficient to

assure a diverse and equitable environment. Institutional practices must also be consistent with statements. Following are examples of ongoing efforts that have advanced diversity at CSU.

- CSU student recruitment, admission and financial aid policies promote access and support for deserving students from diverse backgrounds.
- Advocacy Offices provide direct support to students, and provide multicultural education, consulting, and programming for the campus and community. The advocacy offices work together on common goals, issues and programs aimed at education, awareness, support, and student retention.
- Specific orientation and leadership programs designed for students of color (e.g. PRIDE weekend, Black Issues Forum, and Lorenzo De Zavala Institute) provide additional outreach to potential and current students. Other programs, such as the Colorado Alliance for Minority Participation (CO-AMP) and PEAKS Alliance, attract and mentor diverse students.
- Scholarships for undergraduate (First Generation Award, Advocacy Diversity Award) and graduate (Martin Luther King, Jr. Award) students provide support that contributes to diversity.
- Employee search and selection procedures have been redesigned to proactively support institutional goals.
- Presidential commissions and advisory groups have been established that include the President's Commission on Ethnic Diversity Issues, President's Multicultural Student Advisory Committee, President's Commission on Women and Gender Equity, and the Equal Opportunity Council.
- Institutional support exists for caucuses and interest groups with emphasis on diversity concerns such as the Multi-Ethnic Faculty and Staff Caucus and the Women's Faculty and Staff Caucus.
- The Center for Applied Studies in American Ethnicity continues to strengthen its interdisciplinary tracks in Asian American and Pacific American Studies, African American Studies, Hispanic American Studies, and Native American Studies.
- The Gender Infusion Project is ongoing with 116 faculty participants from 32 different departments in all eight colleges since the inception of the program in 1984.
- Linkages with external constituencies have been formed to enhance diversity including membership in the Asian Chamber of Commerce and the Black Chamber of Commerce. CSU was a founding member of, and remains a participant in the Northern Colorado Multicultural Corporation. Colleges have also increased the diversity of their advisory boards and committees.

While ongoing diversity efforts at CSU are numerous, centralized coordination of many diversity efforts has occurred through the DCC. The annual Diversity Summit offers an opportunity for focused discussion of both general and specific diversity strategies, activities, and celebration of accomplishments and “best practices.”

## **Diversity Accomplishments**

During Fall 2003, DCC is assessing progress on the following goals of the University Diversity Plan.

- Goal 1.** Increase enrollment and graduation of racially and ethnically underrepresented students at CSU to a level that reflects a composite of factors, including the number of diverse students graduating from high school, the availability of applicants who meet the University’s admissions requirements, the success of targeted non-resident recruiting in diverse high schools, and the demographic profile of the state of Colorado.
- Goal 2.** Increase the number of under represented individuals (Asian/Pacific Americans, Black/African Americans, Hispanics/ Latinos, and Native Americans; White non-Hispanic women; and persons with disabilities) in faculty, administrative professional, and state classified positions to be consistent with their availability.
- Goal 3.** Foster a total University environment that respects and welcomes diversity.
- Goal 4.** Build and strengthen alliances with diverse communities, and civic, business, community, and ethnic organizations to support multiculturalism in the University and external communities.
- Goal 5.** Identify strategies to assure the continued evaluation of University diversity efforts, including opportunities for feedback and ongoing communication.

Work groups of DCC members are reviewing data to determine accomplishments for each goal and to define appropriate goals for the new 5-year diversity plan. A few examples of accomplishments already identified are as follows:

- Enrollment of minority undergraduate students increased by 21% from 2,050 in Fall 1997 to 2,489 in Fall 2003. Minority students comprised 12.0% of 20,678 undergraduates in Fall 2003 compared to 11.1% in Fall 1997.
- The one-year retention rate of minority students was a record high of 84% for the class entering in 2001.
- The gap in graduation rates between minority and non-minority students was narrowed from 13 percentage points to only five. The 5-year graduation rate for minority freshman has increased from 43% for the class entering in 1992 to 52% for the class entering in 1997.

- The combination of new hires and retention has resulted in increases in racial/ethnic minority faculty both numerically (83 in FY99; 94 in FY03) and as a percentage (8.5% in FY99; 10.0% in FY03) of tenure-track faculty. These increases have not, however, allowed the University to achieve its goals of matching national availability.
- Hiring and retention have resulted in maintaining the percentage (12.6% in FY99; 13% in FY03) of racial/ethnic minority administrative-professionals at a level slightly above the availability level at the time the Diversity Plan was developed.
- For state-classified positions, racial/ethnic employment at a level above availability has been maintained (16.4% in FY99; 17.1% in FY03).

## **Intercollegiate Athletics**

CSU promotes and is committed to a system of shared governance by which both faculty and administrative staff provide input on decisions concerning policy and procedures for all programs including intercollegiate athletics. The mission statement for Intercollegiate Athletics was developed in a coordinated effort with the Faculty Council's Committee on Intercollegiate Athletics. The following section shows the emphasis that is placed on integrity, equity, and student development as foundational concepts in the CSU athletic program:

The University is committed to the pursuit of excellence with integrity in athletics. As part of its mission, the University is committed to providing equal opportunity for all students to learn about sports and sport-related subjects and to participate in athletics at all levels including recreational, intramural, club and intercollegiate. A strong intercollegiate athletic program gives talented student-athletes the opportunity to develop fully their physical, intellectual and leadership skills as they participate in all aspects of college life, represent their school in athletic competition and in the community and pursue college level studies to prepare themselves for meaningful careers. Therefore, Department of Athletics administrators and coaches are expected to recruit qualified student-athletes who can succeed academically and athletically and who will represent the University responsibly and with integrity.

Intercollegiate athletics at CSU fosters a sense of loyalty, community, and support among students, faculty, staff, alumni and friends. CSU subscribes fully to the principles of fair play, insisting that its athletic program and everyone connected with it embody the spirit of athletic amateurism and abide by and uphold the laws, rules and regulations governing collegiate athletics.

Two entities with close association with athletic programs are the Offices of Alumni Relations and Development. Both offices are vital to athletic programs. Additional entities within the institution also provide checks and balances for the athletic program and enhance the shared governance concept. CSU demonstrates integrity as it relates to its many



stakeholders including students, alumni, boosters, faculty, student-athletes, governing groups and the University.

## **Expectations of Student-Athletes**

Student-athletes at CSU are provided guidelines in the *Student-Athlete Handbook* that address academic, athletic and social expectations. In most instances, CSU student athletes meet or exceed these expectations, holding high expectations for themselves as well as their teammates. As indicated in Chapter 2, CSU made the decision in 1998 to withdraw from the Western Athletic Conference to become one of the founding members of the Mountain West Conference (MWC). One of the strengths of this new conference was the geographic proximity of member institutions, thus reducing travel time and missed class time for student-athletes, reinforcing the importance of academics in the athletic program at CSU. During AY02, student-athletes continued to meet academic expectations and were successful in the classroom. Thirty-five of the 320 student-athletes in the program earned perfect 4.00 GPAs. In addition, the cumulative GPA for all sports teams was 2.97 with seven of the 15 teams earning a cumulative GPA of 3.00 or higher for their team. The MWC All-Academic Team is composed of student-athletes who compete in at least 50% of their team's contests and who demonstrate a cumulative GPA of 3.00 or higher. One hundred-fifty CSU student-athletes were named to their respective MWC All-Academic Teams during AY02.

In the most recent *NCAA Graduation-Rates Report* (2003), 51% of the student-athletes who entered in AY97 graduated as compared to 63% of the student body. In the three previous years, graduation rates were 59% (2002), 56% (2001), and 55% (2000). The graduation rate for student-athletes is adversely affected by student-athletes who transfer out of the CSU program for athletic opportunities elsewhere. A statistic that better demonstrates student-athlete success is the one that reflects the graduation rate of student-athletes who exhaust their eligibility at CSU. This statistic has remained fairly constant at 84% since the inception of the graduation-rates report.

## **NCAA Certification Report**

CSU has been a member of Division I of the NCAA since 1929. University rules and regulations for the conduct of intercollegiate athletics must conform to those established by both the MWC and the NCAA. The Department of Intercollegiate Athletics has a strong program for assurance of MWC and NCAA compliance. Education regarding rules is comprehensive and ongoing at the University, and updates of rule changes are a regular part of the process. Each coach is held responsible for ensuring compliance in his or her sport.

The most recent NCAA Self-Study Certification was completed in 1996, and the report focused on academic integrity, fiscal integrity, commitment to equity, and governance

and rules compliance. Each of these focal points relates to institutional integrity and is a point of emphasis in the Department of Intercollegiate Athletics.

- **A student-athlete handbook** that serves as a reference for all student-athletes throughout their career at CSU. This handbook identifies the importance the department places on developing the whole person academically, socially and athletically.
- **Student-Athlete Advisory Committee.** The Student-Athlete Advisory Committee is composed of student-athletes assembled to provide insight on the student-athlete experience and to offer input on the rules, regulations and policies that affect student-athletes. Each team at CSU has representation by at least one member on the Student-Athlete Advisory Committee.
- **Academic Support Services.** The academic support service staff members are dedicated to the academic, educational, intellectual, personal and developmental needs of student-athletes at CSU, and they provide services in three primary areas (1) academic counseling for student athletes, (2) monitoring NCAA, MWC and CSU regulations pertaining to student-athlete eligibility, and (3) implementing student development initiatives for the student-athlete.
- **Fiscal Integrity.** Intercollegiate Athletics incurred a deficit during the early 1990's that has been eliminated and during the past five years, the department has maintained a balanced budget and finished each fiscal year in the black.
- **Title IX Compliance.** Intercollegiate Athletics is committed to diversity, thus enabling CSU to become one of the first NCAA Division I universities to attain Title IX Compliance.
- **Rules Compliance.** Intercollegiate Athletics at CSU continuously informs and educates student-athletes, boosters, coaches and staff relative to the compliance with NCAA and MWC rules and regulations. This information is included on the unit's website and is provided in numerous publications.

CSU was fully certified at the conclusion of the self-study, and recommendations for the athletic program were developed from the self-study process. Progress on these recommendations was articulated in the interim report submitted to the NCAA in May 2001. CSU is preparing for the next self-study and NCAA certification visit which is scheduled for Spring 2005.

## **Contractual and Business Relations**

The Division of Administrative Services has primary responsibilities for oversight of contracts management, auxiliary and business relations and practices. These responsibilities are distributed among departments such as Purchasing, Contracts Manager, and Business and

Financial Services. This discussion of integrity in business relations focuses on integrity in confidentiality agreements with external entities and protection of IP rights.

## **Oversight of Contractual Management**

### **Office of the Contracts Manager – Roles and Responsibilities**

The University Contracts Manager (CM) has primary responsibility for reviewing and approving contracts with businesses, institutions and individuals outside of the University. The CM reports directly to the VPAS and thus is an integral part of the process of administrative planning and oversight of the University's business operations. In addition, the CM is a licensed attorney who, since 1998, has been designated a Special Assistant Attorney General of the State for purposes of reviewing and approving State contracts. State contracts, also called fiscal rule contracts, are those which ultimately result in the disbursement of State funds (i.e., any contract which obligates CSU to pay any amount to an outside party) and are therefore subject to State fiscal rules. The CM maintains a close relationship with the joint contracts review unit of the State Controller and State Attorney General's offices and meets regularly with representatives of those agencies to review state contracting issues and procedures.

While all fiscal contracts must be signed by the State Controller or a delegate, legal review by the CM is not required for all contracts. University Purchasing Agents may approve fiscal rule contracts up to \$50,000 in value without the necessity of legal review by the CM. Similarly, the Office of Sponsored Programs approves subawards, which are also fiscal rule contracts, up to \$50,000 without legal review. In addition, certain individuals on campus are authorized to sign fiscal contracts for the State Controller (by virtue of a sub-delegation from the Director of Business and Financial Services, who serves as the University's primary delegate for the State Controller) up to \$50,000. A single individual may not sign a contract both for the institution and the Controller. Certain types of contracts, such as construction, leases and revenue-producing agreements, always require legal review.

Small dollar purchases that do not require legal review are handled in the Purchasing Department. All current purchasing agents have substantial experience, and all have attended contracts training presented by the CM. The Supervising Purchasing Agent has helped design some of the CSU standard contract forms, and this individual collaborates with the CM in conducting campus-wide training in purchasing and contracting procedures for various departments and individuals. Training has improved compliance with state statutes, rules and institutional policies and has had measurably positive effects on the contracting process at CSU. The Purchasing Manual contains specific, detailed instructions to the campus community on all purchasing activities and on the contracting process, including hyperlinks to the CM website.

When reviewing fiscal rule contracts, the CM makes use of, and assures compliance with the State Fiscal Rules, which are promulgated by the State Controller; the *Procurement Code and Rules*; the *State of Colorado Contract Procedures and Management Manual*; *State Personnel Rules*; and other applicable State and Federal laws, rules and regulations.

The CM also reviews and approves most contracts that will result in revenue to the University, such as service agreements for technical, scientific or academic services and products, and revenue agreements with concessionaires and other vendors. Research and service agreements that involve scientific services may also be reviewed by the Office of Sponsored Programs staff and approved by the VPRIT without CM approval. General requirements for revenue contracts are contained within University policy manuals, including the *Sponsored Programs Manual*, *Administrative Operational Reference Guidelines*, and *AF&AP Manual*. The *CSU Contracts Manual*, published by the CM, provides a comprehensive description of rules and requirements for all contracts and agreements involving the University. Additionally, the CM provides review, approval and oversight of contracts involving the sale, purchase and leasing of real estate by or to CSU. This responsibility is shared with the Office of General Counsel and the Facilities Management Real Estate Services staff.

### **Contract Forms and Processing**

The CM maintains a website <[www.admin.colostate.edu/cs/](http://www.admin.colostate.edu/cs/)> that houses the *CSU Contracts Manual*, various other materials and information, and a collection of standard contract forms designed for use by CSU departments and outside contractors. The forms are, in most cases, designed so that the required terms and conditions cannot be altered without the review and approval of the CM. Training sessions emphasize the use and processing of these forms.

All CSU contracts must be signed on behalf of the Board by an official having a pre-approved delegation for this purpose. The Board's *Policies and Procedures Manual* authorizes these delegations and reserves certain powers to the Board. In order to most efficiently provide for proper signatures on contracts, the CM website includes a link to the official CSU Signature Delegation Chart, which sets forth these delegations by contract type, primary delegate and any authorized subdelegates, as well as additional approval requirements for certain contracts.

### **Conflict of Interest Safeguards in the Contracts Process**

CSU policies (*AF&AP Manual* Sections D.7.6 - D.7.7) require conflict of interest and conflict of commitment disclosure by all University employees. When a conflict of interest disclosure statement is received by the CM in connection with a contract (or the

conflict is identified by the official responsible for approving the contract), the CM takes steps to assure that a conflict of interest management plan is in place and that the contract submitted for approval falls within the parameters established in that plan. However, the existence of a conflict, or potential conflict, may not be apparent to either the CM or the authorized signatory for any particular contract. One safeguard already in place is the requirement that a department head or dean review and approve contracts prior to signature by the authorized delegate, but this may not be effective in every case. This institutional procedure is under review, and it is anticipated that an improved process for identifying potential conflict and linking that information to the contracting approval procedures will be developed soon. The VPRIT and the Provost share the primary responsibilities with respect to these issues.

In addition to the processes described above for review and approval of University contracts, additional review and oversight is provided through the internal and external audit process. The CSUS maintains an Internal Audit function that periodically audits departmental records, including their contract files. All contracts that were reviewed by the CM are also maintained in permanent files in that office, and while their retention is not indefinite, there has been no purging of these files since 1993. The University employs external auditors to provide independent audit functions, and is also subject to audits by the State Auditor and by Federal agencies that provide grant and assistance funds to CSU.

In summary, CSU has a strong contract review process that includes several levels of review and approval. This process assures that the appropriate academic and administrative officials have knowledge of external contracts and must give consent to them prior to final approval. Contracts that have fiscal impact are not valid unless this process is followed. The close relationship between the CM and the joint contracts review unit of the State Controller and State Attorney General helps assure that funds are used appropriately. Both revenue and expenditure contracts are subject to review by the CM or, in appropriate cases, by Office of Sponsored Programs staff. All purchasing contracts are handled by experienced staff in the Purchasing Department, with legal review for those of significant fiscal impact.

## **Integrity in Confidentiality Agreements with External Entities**

The University is frequently called upon to enter into agreements that promise confidential treatment of information and materials received from others. Most often, these are part of a research or service agreement that entails sharing scientific or technical information of a sponsor or client company. For example, if a commercial firm desires to retain CSU's services to perform scientific testing of its product, the firm has a strong interest in protecting the information and materials that it submits to CSU. In recognition of the sponsor's proprietary interests, CSU will enter into a Non-Disclosure Agreement (NDA) protecting the information, subject to certain limitations. The preferred method of contracting

in such instances is by use of the standard CSU NDA contract form. Use of this form helps protect CSU's interests as well as those of the sponsor, limits the University's exposure to liability, and defines the confidentiality obligation as clearly and narrowly as possible.

Confidentiality/non-disclosure agreements are signed by the VPRIT or an authorized delegate, and are approved by the CM only if non-standard terms and conditions are included. Integrity in the process is supported by the application of the Colorado Open (Public) Records Act (CORA), which extends the right of confidentiality to trade secrets and proprietary business information of a person or company when that information is disclosed to the State, under certain conditions. Questions about the applicability or effect of CORA in particular cases are handled by the CM or, when appropriate, by the Office of the General Counsel. Information which is developed or discovered by CSU faculty or staff in the course of their employment should generally not be treated as proprietary, as it is property of the University, so care must be taken to assure that University resources are not devoted to creating private rights in IP under the guise of "non-disclosure" obligations. The VPRIT and the Provost have shared responsibilities in this area pursuant to Section D of the *AF&AP Manual*. Standard CSU non-disclosure agreements are not reviewed for conflict of interest unless the VPRIT is aware of the conflict at the time that the agreement is presented for signature. NDAs are carefully scrutinized by the VPRIT and, where applicable, by the CM, to assure that they are not used to circumvent the use of a research or service agreement to transfer rights in IP.

## **Protection of Intellectual Property Rights**

### **Origins of Intellectual Property Interests**

When research or service work performed at CSU has the potential to result in the discovery of new inventions or processes, or in publishable original works, the rights in such discoveries and works are considered IP. In some instances, individual faculty members are allowed, and indeed encouraged, to claim ownership in IP rights that arise from their work at the University. The University's rights in IP that arise from the use of University resources, as set forth in *AF&AP Manual* (Section J), are protected through IP provisions in standard CSU research agreements and research-related service agreements. These provisions are designed to assure that University resources are not used inappropriately for the private gain or purpose of outside entities; that IP rights are preserved on behalf of CSU; that appropriate technology transfer to the private sector is encouraged; and that IP rights are properly managed by CSU and CSURF. The Sponsored Programs Manual contains detailed information regarding the University's policies on ownership and management of IP interests arising from CSU research activities <[www.research.colostate.edu/policy/PIManual/TOC.htm](http://www.research.colostate.edu/policy/PIManual/TOC.htm)>.

## **Review and Approval Process**

The VPRIT has ultimate responsibility for approval of research and research-related services agreements which implicate IP rights. The CM approves non-standard agreements and works in concert with the IP advisor for CSURF. The laws affecting ownership of IP rights include the Federal Bayh-Dole Act, Copyright Act, and Patent Laws. CSURF's role is to manage CSU's IP rights in accordance with these laws, the terms of any grants or contracts that apply to the particular rights, and the best interests of the University. CSURF, the CM, and the VPRIT share the goals of protecting CSU's interests in IP from overreaching by commercial sponsors and limiting the use of CSU resources and facilities to projects with valid research objectives and/or benefits to the University. Legal issues concerning IP rights are referred to the Office of General Counsel, which in turn may utilize specialized outside counsel when necessary to protect these rights.

In summary, CSU has processes in place to assure that IP rights arising from research done using CSU resources are properly protected on behalf of CSU and that overreaching by commercial sponsors with respect to such rights is avoided. CSU standard contracts help to implement these processes. CSU has adequate assistance in IP matters through the support of CSURF and, when indicated, through the assistance of Legal Counsel.

## **Key Strengths**

- **Colorado State University is recognized as a leading character-building University with unique programs designed to promote civic responsibility in students.**

CSU has received national recognition for implementing innovative programs to promote student character development. DSA staff members have designed distinctive programs involving many campus units and the local community. Faculty members have infused integrity issues into the curriculum, teaching ethics to students in the context of diverse disciplines. The University community is proactive in its use of education and training to inform students of their rights and responsibilities. Policies and procedures for student behavior and professional conduct by faculty and staff are clear and easily accessible. CSU has well-defined processes for resolving conflict that offer a range of options and appear to be effective. CSU fulfills Criterion Five by demonstrating integrity in its practices and relationships.

## Challenges and Opportunities

- **Colorado State University has made slow but steady progress in meeting its diversity goals with increased effort being essential to accelerating the pace of accomplishment.**

Significant progress has been made on several diversity initiatives. Enrollment of diverse undergraduate students increased again in Fall 2003, with record numbers of minority freshmen and total undergraduates. Retention of undergraduate students was enhanced and the graduation rate continues to increase. An increased number of minority students are enrolled in master's programs. The numbers of ethnically diverse faculty members and staff have shown slight to modest increases. Faculty and staff have been successful in obtaining support for a variety of scholarships and fellowships for minority students. A campus climate that respects and welcomes diversity is being cultivated by providing programming and training for students, faculty, and staff. The DCC provides oversight and leadership through review of diversity progress assessments and recommends initiatives to enhance these efforts. To achieve the goals of the University Diversity Plan, continuous emphasis will be required.