



Criterion V
The institution demonstrates integrity in its policies and relationships.

Chapter 12: *Institutional Integrity*

Introduction

Ball State University strives to create an academic community engaged in inclusive dialogues that result in practices reflecting the institution's deeply held beliefs. The university adheres to high professional standards that have been carefully considered, are routinely subjected to peer review, and are responsive to the new and enduring issues confronting academic communities. As noted in Chapter 3 of this report, integrity is a core value expressed in the institution's mission statement. This chapter will illustrate the ways the university demonstrates integrity in its practices. Evidence is presented that Ball State clearly communicates its policies, employs effective processes for resolving disputes, complies with federal regulations, engages in practices to promote access and diversity, and promotes integrity in its internal and external relationships.

Communicating Policies

Ball State provides multiple resources to students, faculty, and staff that contain comprehensive descriptions of institutional policies and procedures. These policies and procedures are revised regularly by standing committees representing various constituent groups. In addition, university administrators are involved in reviewing policies and working with faculty, students, and staff in making policy improvements. Most of the institution's policies and procedures are available in print and on the university's Web site. Posting policy online increases accessibility and provides flexible opportunities for revision.

The university communicates policies and procedures to new faculty and staff as well as newly appointed administrators through regular orientation programs. For example, new faculty participate in the Alpha Program before they begin the semester to acquaint them with university policies and practices regarding a variety of topics, such as working with students with disabilities and avoiding or responding to sexual harassment. New graduate assistants participate in a similar orientation program.

Another example of this type of target-specific training takes place throughout the first semester of each academic year focusing on newly appointed administrators in the Academic Affairs area. Participants engage in biweekly workshops conducted by both associate provosts and are equipped with a working knowledge of current topics such as fair and effective hiring practices, promotion and tenure reviews, leave programs, and other important university policies. All new department chairs, directors, deans, and associate deans attend these events.

Other mechanisms provide a format for communicating policies and practices to the wider university community. Examples of these broad-based initiatives include University

Human Resource Services' Training and Development Program, which offers a wide variety of programs to all Ball State employees. In addition to these time-specific training events, online training opportunities are continually available. Announcements regarding university-wide policy changes also are available via *Update*, a weekly publication for all employees on the campus.

Finally, in an effort to keep all administrators up-to-date on time-sensitive developments throughout each semester, the university president convenes meetings of the Administrative Group. This assembly of administrators from all areas of the institution meets to discuss a wide variety of issues, including new or pending legislation affecting higher education, proposed capital expenditures, policy initiatives under consideration by the University Senate or the senior administration, and other important works in process.

Graduate and Undergraduate Catalogs and Schedule of Classes

University catalogs are updated and revised regularly and contain clear policies and procedures related to admission and retention as well as curricular requirements. Print versions of the graduate and undergraduate catalogs are available in the resource room as Exhibits 40 and 86, respectively. Electronic versions of these documents also are available:

- *Graduate Catalog 2003–2005* (<http://vgn.cds.bsu.edu:82/gradschool/catalog>)
- *Undergraduate Catalog 2002–2004* (www.bsu.edu/web/catalog)

The *Schedule of Classes* (Exhibit 70 in the resource room) is published three times a year in conjunction with the semester cycle and is available online at www.bsu.edu/apps/courseplanner/CourseInfo.asp.

Faculty, Student, and Staff Handbooks

The primary resources available to faculty and staff are the following handbooks, which are provided as exhibits in the resource room and are available online at web.bsu.edu:80/hrs/empinfo/handbooks/emphand.htm.

- *Faculty and Professional Personnel Handbook* (Exhibit 34)
- *Handbook for Nonexempt Staff Personnel* (Exhibit 44)
- *Handbook for Exempt Staff Personnel* (Exhibit 43)
- *Service Personnel Affiliated with Staff Personnel (Non-Bargaining Unit) Employee Handbook* (Exhibit 76)
- *Service Personnel (Bargaining Unit) Employee Handbook* (Exhibit 77)

GIR 22: Its catalog or other official documents include its mission statement along with accurate descriptions of its educational programs and degree requirements; its academic calendars; its learning resources; its admissions policies and practices; its academic and nonacademic policies directly affecting students; its charges and refund policies; and the academic credentials of its faculty and administrators.



The Code of Student Rights and Responsibilities (Exhibit 19), a primary resource for students, is available in the *Faculty and Professional Personnel Handbook* and online at www.bsu.edu/sa/dean/stucode. A printed copy is available in the Office of the Dean of Students and is distributed annually to administrative offices and student groups.

In other areas of the institution, target-specific handbooks and resource documents are provided to further guide the actions of particular subgroups within the university community. These are available as exhibits in the resource room. Examples of these documents include:

- ≈ *Housing and Residence Life Handbook* (Exhibit 46)
- ≈ *University College Advising Handbook* (Exhibit 88)
- ≈ *Center for International Programs Student and Scholar Handbook* (Exhibit 18)
- ≈ *Athletics Department Policy and Procedures Compliance Manual* (Exhibit 9)
- ≈ *Student–Athlete Handbook* (Exhibit 84)

Ball State’s expectation that students adhere to the principles of academic integrity and honesty in all of their work is communicated in the Student Academic Ethics Policy section of the Code of Student Rights and Responsibilities and the *Faculty and Professional Personnel Handbook*. The graduate catalog also specifies the expectations for academic ethics and attendance in graduate study.

In addition to these policies and procedures, the university created the Center for the Teaching of Integrity, which regularly engages members of the Ball State community in issues related to academic honesty. The center hosts workshops, creates and distributes materials to faculty and students, and encourages public discussion.

Policies and Procedures for Resolving Disputes

University procedures relating to disputes are regularly reviewed and revised. Examples of these procedures include the University Review Board Disciplinary Procedures for alleged violations of the student code; portions of the *Faculty and Professional Personnel Handbook* that directly relate to faculty salary, promotion, and tenure appeals; portions of the *Faculty and Professional Personnel Handbook* that directly relate to faculty discipline or termination; the Grievance Procedure for Staff Personnel and Service Personnel (Non–Bargaining Unit) Affiliated with Staff Personnel addressing matters concerning the meaning or application of a university rule or regulation to an individual employee; and the Grievance Procedure for Service Personnel (Bargaining Unit) addressing alleged violations of the Conditions of Cooperation with the American Federation of State, County, and Municipal Employees (Local 293).

These procedures demonstrate that members of the university community have clearly specified rights in matters of internal conflict, have access to the procedures used to resolve these conflicts, and are readily provided advice and counsel regarding the procedures when requested. These dispute resolution procedures also are designed to provide a balance between rights and responsibilities and are administered in a manner that reflects the institution’s mission and values as well as state and federal law. Details of these procedures are available in the handbooks listed previously.

Monitoring Student Complaints

Historically Ball State has relied upon a decentralized model for dealing with student complaints, and efforts are made to ensure that informal complaints are resolved at the lowest administrative level possible and in a timely fashion. The university’s experience has suggested that these informal resolutions are successfully handled by department chairs, unit directors, and college deans in most cases. However, when a complaint is not resolved satisfactorily or in the case in which a student has exhausted all grievance and/or appeal processes available and submits a formal written complaint, the complaint is directed to the senior university officer who is responsible for the area named in the complaint.

A log summarizing the formal written complaints received by university officers between July 1, 2001, and December 31, 2003, is available as Exhibit 21 in the resource room. The log includes the following information required by the Higher Learning Commission:

- ≈ the date the complaint was formally submitted
- ≈ the nature of the complaint
- ≈ the action(s) taken by the university to resolve the complaint
- ≈ the university’s final decision regarding the complaint, including referral to outside agencies
- ≈ any other external actions initiated by the student to resolve the complaint, if known

Log entries include only those complaints submitted in writing and signed; e-mailed complaints or complaints submitted anonymously are not included, unless otherwise noted. In addition, matters for which university appeals or grievance processes are available to the student, such as a grade appeal, are not included in the log. To maintain confidentiality, the complaints listed in the log have been assigned case numbers.



The requirement to maintain a complaint log is a relatively new addition (1998) to the *Handbook on Accreditation* provided by the Higher Learning Commission. Although Ball State's decentralized processes for responding to complaints appears to be effective, the university is currently considering the merits of developing a formal set of procedures for maintaining its complaint log that could be published in various university handbooks.

Compliance with Federal Regulations

A number of areas throughout the university are charged with assuring the institution's compliance with an ever-increasing number of federal and state regulations. These areas closely monitor compliance with existing laws and employ a variety of mechanisms to stay apprised of any new developments. Examples of units charged with these responsibilities include the Office of University Compliance, Office of Controller and Business Services, Office of Payroll and Employee Benefits, University Human Resource Services, Office of Employee Relations, Center for International Programs, Office of University Budgets, Office of the Bursar and Loan Administration, Office of Scholarships and Financial Aid, Office of Registration and Academic Progress, Department of Public Safety, Office of Environmental Health and Safety, Department of Transportation, Office of Academic Research and Sponsored Programs, and offices within the Teleplex.

In recognition of the increasing breadth of federal and state regulations, Ball State recently restructured and expanded the scope of duties within the Office of Equal Opportunity and Affirmative Action to include institutional coordination of a number of federal and state mandates. The title of the office was then updated to the Office of University Compliance in an effort to better reflect this wider scope. The executive director of the Office of University Compliance is charged with providing leadership and administration for regulatory compliance and regularly works with the offices referenced above to coordinate this compliance. Areas of responsibility for the executive director of university compliance include the Civil Rights Act, Equal Pay Act, Pregnancy Discrimination Act, Title IX of the Education Amendments, Age Discrimination in Employment Act, Immigration Reform and Control Act, Rehabilitation Act, Americans with Disabilities Act, Family and Medical Leave Act, Health Insurance Portability and Accountability Act, Executive Orders 11246 and 11375, and Family Educational Rights and Privacy Act. A copy of the job description for the executive director of university compliance is available as Exhibit 52 in the resource room.

This model of centralized coordination and decentralized implementation allows for an effective use of time and personnel, minimizing duplication of efforts and

miscommunication. A recent example of this balance took place when the Student Affairs area, in cooperation with a number of areas throughout the university, reviewed and revised the reporting mechanisms for the data needed to comply with the Cleary Act. In addition, a new communications plan was developed and implemented that included mechanisms to ensure applicants, students, and employment applicants are notified of the availability of this information on the Web. Instructions for requesting a printed copy are available to anyone as shown at www.bsu.edu/publicsafety/crimestats.html.

Another example of the manner by which Ball State complies with federal and state regulations is the review and quality assurance mechanism that monitors financial aid practices. As an institution eligible for federal student aid, Ball State regularly enters into a Program Participation Agreement with the U.S. Department of Education. A copy of the university's most recent agreement is available as Exhibit 66 in the resource room. Ball State also submits an annual fiscal operations report to the federal government that summarizes its expenditures under the campus-based programs the previous year. The three most recent FISAP reports are available as Exhibit 39 in the resource room. Finally, the university is subject to external audits of its compliance with laws and regulations applicable to federal student aid programs in which the institution participates as well as external audits of its financial statements. These annual audits demonstrate that university financial aid programs for 2000–01 and 2001–02 contained no citations or material findings. The audit for 2002–03 will be available to the reaccreditation team prior to its February visit.

Since the 1993–94 academic year, the total financial assistance provided to Ball State students has increased nearly 97 percent from \$68 million to \$133 million in 2002–03. Most of this increase occurred in federal non-need-based loans. Default rates for loans at Ball State are very low. The rates for the Federal Direct Stafford Loans for the three most recent cohorts were as follows: 5.4 percent in 1999; 5.3 percent in 2000; and 4.3 percent in 2001.

In an additional illustration of compliance, the Center for International Programs (CIP) serves as the primary contact point for matters relating to the university's compliance with federal immigration regulations such as the admissibility of international students and visiting foreign scholars. For example, five CIP staff members have been trained to be eligible signatories on visa documents made mandatory by the Office of Immigration and Naturalization Services (INS). This helps to provide consistent and high-level service to students and faculty. In the event that a CIP staff

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member faces a new or unusual set of circumstances, CIP coordinates with the Office of University Compliance to obtain any additional counsel on the matter at hand. This coordinated approach allows the university to consistently adhere to relevant federal and state policies and practices as well as to stay up-to-date with the post-9/11 immigration era.

A final example of this coordinated institutional compliance is the Institutional Review Board (IRB), which operates under the auspices of the Office of Academic Research and Sponsored Programs (OARSP). This board is charged with the responsibility for ensuring university compliance with all federal and state regulations concerning the rights of human research participants. The policies and procedures guiding university decision making in this area, listed previously, are widely available to faculty and students as they are published in the *Faculty and Professional Personnel Handbook* and are available online at www.bsu.edu/research/index.html.

Equal Opportunity and Affirmative Action

Ball State is committed to promoting opportunity, access, and diversity in all facets of university life. This commitment to the principles of equity and fairness is illustrated in the institution's admissions and employment practices and is articulated in the Ball State Equal Opportunity and Affirmative Action Policy, located in all university handbooks and online at www.bsu.edu/legal.

The university ensures compliance with this policy in a number of ways. First, the institution clarifies that the responsibility of compliance with this policy lies with each line administrator and is coordinated through the Office of University Compliance. For example, while formal complaints of discrimination, such as sexual harassment, are investigated through the Office of University Compliance, each supervisor is responsible for monitoring continuous compliance with the university's sexual harassment policy in his or her direct area. If a supervisor becomes aware of behavior that may violate the policy, the supervisor must report that behavior, make certain the behavior stops, and monitor the area to deter any reoccurrence. To assist supervisors in the effective execution of these responsibilities, the Office of University Compliance provides area-specific training and is available on a daily basis for individual consultation. This is another instance of the centralized coordination and decentralized implementation of university compliance with federal and state law. A copy of the Ball State University Sexual Harassment Policy is available as Exhibit 79 in the resource room.

Modeling Integrity in University Practices

Evidence of the value Ball State places upon professional integrity is found in the ways in which university business is conducted. The following section demonstrates the institution meets the standards for Criterion V in the areas of student recruitment, research and sponsored programs, use of technology, dissemination of information, intercollegiate athletics, partnerships with other institutions, and relationships with donors.

Integrity in Student Recruitment

Activities related to student recruitment take place in various areas of the university. The Office of Admissions makes the criteria used to evaluate undergraduate applicants publicly available at www.bsu.edu/students/admissions. This office is an active member of the National Association for College Admission Counseling (NACAC) and makes vigorous use of the Statement of Principles of Good Practice provided by the NACAC. This document, available online at www.nacac.com is intended to help institutions treat all students fairly in the process of applying for admission, financial aid, and housing. The Office of Admissions routinely reviews Ball State's policies and procedures to ensure they correspond with the principles outlined in the NACAC document.

Integrity in Research, Grants, and Sponsored Programs

Ball State's Office of Academic Research and Sponsored Programs (OARSP) provides the information, materials, and evaluative criteria for internal grants, federal requirements regarding Institutional Review Board protocols, the Conflict of Interest/Commitment Statement, and documents regarding intellectual property, animal care and use, infectious agents, recombinant DNA, and human subjects. The university's relatively new Conflict of Interest/Commitment Policy is available in the *Faculty and Professional Personnel Handbook* (Exhibit 34 in the resource room).

Maintaining integrity in contracts, grants, and sponsored programs requires effective collaboration between faculty members, the OARSP, and the Office of Contracts and Grants. This collaboration is continuously improving to facilitate the operation of contractual and grant-related activity. In addition, plans are in the works to locate the OARSP and the Office of Contracts and Grants in the same office complex, thus enabling more efficient and flexible communication and collaboration between these areas.



Public information about the university's contracts and grants is evolving under this area's new leadership but is currently limited and not easily accessible. Planned improvements in this area include enhancing the Office of Contracts and Grants Web site (www.bsu.edu/contracts), which will provide a manual and electronic versions of all forms developed or used by this office.

The Office of Contracts and Grants is audited annually by the State Board of Accounts and is subject to audits by the federal audit agency. The most recent State Board of Accounts audit, which covered the period from July 1, 2001, to June 30, 2002, contained six findings relating to the management of federal contracts and grants within the university. Ball State's response and plans for corrective action were provided in April 2003 to the State Board of Accounts in a report from the vice president for business affairs.

Financial records must be retained for the period specified by the sponsor of any contract or grant; this period is usually from three to five years. The Office of Contracts and Grants retains all financial records for contracts and sponsored programs, while project directors retain all technical records for their contract and grant activities.

Integrity in the Dissemination of Information

The Office of University Communications, formerly University Relations, raises public awareness of, understanding of, and appreciation for Ball State. It provides a full range of communication, marketing, and media relations services to university departments and organizations. This office works collaboratively with other units on campus to provide clear, informative, and accurate portrayals of Ball State's programs, partnerships, activities, and events, and it prioritizes projecting a consistent image of the institution's mission, goals, and accomplishments. University Communications also handles all media queries at the institutional level. In this capacity, the office functions as an integral component of crisis response and management, and its staff assists the university administration in providing public information. This unit maintains integrity in disseminating information and building positive relationships with the general public by providing open, informative communications with a variety of audiences and under a variety of circumstances.

Integrity in the Use of Technology and Educational Resources

Ball State strives to ensure the ethical use of technology and related resources among its students, faculty, and staff. The University Computer Users' Privileges and Responsibilities document, available online at web.bsu.edu/ucsservices/Handbook, guides the appropriate use of computing services on the campus. This policy is designed to ensure the ethical use

of computers, data networks, services, and other computer-related resources by all groups within the university community. It applies to all users of university computing resources, specifies prohibited behaviors, and notes the disciplinary actions that may be taken when violations occur.

Guidelines for copyright compliance are clearly specified and available online at www.bsu.edu/pres/library/thelibraries/units/copyright. This site provides information concerning the proper and legal use of copyrighted materials, whether printed, electronic, or visual.

Integrity in Intercollegiate Athletics

Ball State demonstrates integrity in athletics through its compliance with all regulations of the National Collegiate Athletic Association. NCAA certification of Ball State athletics programs for Division I institutions was approved in 1993 and recertified in 2002. The review process involves four areas: governance and commitment to rules compliance; academic integrity; fiscal integrity; and equity, welfare, and sportsmanship. Evidence of the university's integrity in intercollegiate athletics can be found in Ball State's *2001–02 NCAA Division I Athletics Certification Self-Study* and the accompanying NCAA report prepared by the visiting site team (Exhibit 55 in the resource room).

The university president is ultimately responsible for the operation of the athletics program. The director of athletics reports to the president, who is directly involved in budget decisions, the direction of the overall athletic program, Mid-American Conference operations, and major sports coaching decisions. Compliance with NCAA and Mid-American Conference regulations is continuously monitored by all staff and is overseen by the director of athletics compliance and eligibility, a position that reports to the university's executive director of compliance, who in turn reports to the president.

Additionally, Ball State complies with federal Title IX regulations. In 1994 Intercollegiate Athletics conducted a Title IX audit in response to a Mid-American Conference requirement. This audit reviewed 13 component areas and identified areas needing improvement. In 1995 a five-year plan was established with specific goals and timetables for addressing these areas. A second in-house audit conducted in 2001 demonstrated that the university had accomplished all of the gender equity goals established in 1995 within the planned time frame. The 1995 gender equity plan and the 2001 in-house audit are available as appendices in the *2001–02 NCAA Division I Athletics Certification Self-Study* (Exhibit 55 in the resource room).



Ball State promotes integrity in intercollegiate athletics. This value is implicit in the mission statement of Intercollegiate Athletics and is explicitly stated in Ball State's Sportsmanship and Ethical Conduct Statement. All student-athletes are made aware of the university's commitment to integrity through the *Student-Athlete Handbook*, which includes a section titled "Ethical Behavior in College Athletics." Every student-athlete is required to take "Life Skills for Student-Athletes," a course based on the NCAA CHAMPS (Challenging Athletes Minds for Personal Success) program.

The following documents provide additional evidence in support of integrity in intercollegiate athletics and are available as exhibits in the resource room:

- ≈ *Athletics Department Policy and Procedures Compliance Manual* (Exhibit 9)
- ≈ *Student-Athlete Handbook* (Exhibit 84)
- ≈ *2001–02 NCAA Division I Athletics Certification Self-Study* (Exhibit 55)
- ≈ *2001 NCAA Evaluation Team Report* (Exhibit 55)

Integrity in Partnerships with Other Institutions

Ball State's credit transfer system is an example of the integrity found in partnerships with other institutions. The university accepts all nonremedial or nonvocational credit from all institutions with regional accreditation. Ball State maintains the Automated Course Transfer System (www.bsu.edu/bsu/acts), which automates more than 30,000 course-to-course equivalency statements for more than 1,800 institutions. ACTS ensures transfer evaluation proceeds equitably and accurately for all students. Students can access the system via the Web, create an account for themselves in which they enter their transfer data, and receive evaluations of that data within seconds. Further, the data are incorporated into a student's Degree Analysis Progress Report (DAPR), showing the student exactly which program requirements are met by the transfer courses. The undergraduate catalog clearly provides the Official Statements of Transfer Student and Transfer Credit Policy. Ball State also has established articulation agreements with Ivy Tech State College and Vincennes University allowing students who are denied admission to Ball State to complete a year of study at either of those institutions.

The Center for International Programs (CIP) is regularly involved in partnerships with other institutions. The center is the primary unit within the university that articulates generic exchange contracts. It is responsible for ensuring adherence to federal regulations as well as to all other relevant university regulations. Ball State is involved in 35 bilateral exchanges and maintains membership in various consortia that offer additional exchange possibilities. The CIP communicates with the university's academic and business

affairs offices concerning the terms of these exchanges and the conditions of membership in these consortia. Sample articulation agreements are available as Exhibit 69 in the resource room.

Integrity in Relationships with Donors

Ball State is a member of the Council for the Advancement and Support of Education (CASE). In addition, all university fundraising staff are members of the Association of Fundraising Professionals (AFP). Each of these organizations supports high standards of professional and ethical practice to which the Office of University Development staff adhere.

Evaluation with Respect to Criterion V

Ball State demonstrates integrity in its practices and relationships. The institution adheres to policies and standards that have been carefully considered, routinely opened to peer review, and responsive to the new and enduring issues confronting academic communities. The university engages in ethical practices at all levels, including the communication of policies, resolution of disputes, compliance with federal law, adoption of mechanisms to promote access and diversity, and day-to-day operations involving technology use, university communications, contracts and grants, intercollegiate athletics, and donor relations.

Institutional Strengths

The value Ball State places on integrity is explicit in the institution's mission statement. Policies related to maintaining integrity in all aspects of university business are clear, available, and accessible to appropriate groups. They are updated regularly and reflect changes in state and federal regulations as well as current practices in higher education.

Concerns and Future Challenges

Maintaining a high level of understanding of and compliance with all university policies and procedures among students, faculty, and staff is a continuing challenge. To prevent lapses of integrity, the institution will need to ensure its methods of informing the university community remain aggressive and timely. Corrective action in the area of management of contracts is under way to remediate the problems recently identified by the State Board of Accounts.