

## Standard Eleven: Integrity

### Description

As a public research university, UMass Amherst emphasizes institutional integrity, particularly responsible stewardship of public funds and responsible stewardship of the public trust. These issues are linked directly to the University's education, research and service mission. To foster integrity, UMass Amherst has in place policies and processes to ensure that the campus community abides by legal and ethical standards. Policies and processes are inclusive in their design and are clearly communicated; the campus has established mechanisms for policy review and improvement. Strategies for ensuring responsible stewardship of public funds are detailed in Standard Nine. As part of responsible stewardship of the public trust, UMass Amherst focuses in multiple ways on equal opportunity and fairness, and on appropriate policies and processes for creating and transferring knowledge. Policies that guide integrity are designed to be effective, honest and widely accessible.

### Legal and Ethical Requirements

Established as an educational institution by the state of Massachusetts, UMass Amherst's degree-granting authority is derived from the Massachusetts Board of Higher Education. As a public, state-funded institution, UMass Amherst is committed to fulfilling all its legal and ethical obligations.

The Amherst campus has a full-time Associate Counsel who reports to the University of Massachusetts Office of General Counsel, along with an Assistant Counsel stationed on campus. The system office also has an Internal Audit office that oversees all internal and University-initiated external audits. The University's Board of Trustees has broad responsibility to assure that University funds are spent properly, that the University exercises appropriate stewardship of University assets, and that operating results are positive. All Trustees file a [Conflict of Interest Disclosure](#).

### Affirmative Action and Non-Discrimination

The Amherst campus [Affirmative Action and Nondiscrimination Policy Statement](#) explicitly "prohibits discrimination on the basis of race, color, religion, creed, sex, age, marital status, national origin, mental or physical disability, political belief or affiliation, veteran status, sexual orientation, genetic information and any other class of individuals protected from discrimination under state or federal law." This policy is intended to establish a firm foundation for achieving campus goals for diversity and inclusiveness.

### Disabilities

UMass Amherst makes every effort to comply with both the letter and spirit of laws, such as the *Americans with Disabilities Act (ADA)* as well as the *Rehabilitation Act of 1973*, Sections 503-504. The [Office of Equal Opportunity and Diversity](#) supports compliance and leads efforts to provide reasonable accommodations for students, faculty and staff with disabilities. The [ADA Transition Plan](#) identifies physical barriers that may impede access to programs, and provides a schedule for providing more accessibility to programs and facilities. The plan is reviewed regularly by the campus Architectural Access Board (AAB) to determine current needs and priorities for projects listed in the plan. In 2008, the AAB undertook a major review and update of the *ADA Transition Plan*.

### Privacy

*The Family Educational Rights and Privacy Act (Code of Federal Regulations, Title 34 Part 99)* allows students access to their educational records, as well as basic protections for privacy of their records. (The maintenance of student records is discussed in Standard Six.) The law applies to educational records, defined

as those records directly related to a student and maintained by an educational institution. The University's [Fair Information Practices Regulations](#) provides guidelines for the collection, maintenance and dissemination of personal data contained in all its data systems. The University also complies with a 2007 state law on data security (*Massachusetts General Laws*, Chapter 93H). The law defines sensitive data and requires that institutions immediately notify those individuals whose information has been compromised as a result of a security breach.

### **Sexual Harassment**

UMass Amherst is committed to providing students, faculty and staff with an environment where they may pursue their studies or careers without being sexually harassed. Sexual harassment, as defined in the campus's [Sexual Harassment Policy and Procedures](#), is a violation of the 1964 *Civil Rights Act*, Title VII; of the 1972 *Education Amendments*, Title IX; and of *Massachusetts General Laws*, Chapters 151B and 151C. While informal resolutions of complaints may be pursued in various ways, the Office of Equal Opportunity and Diversity is responsible for formally administering this policy and its grievance procedures.

### **Teaching and Learning**

All students are responsible for complying with the pertinent rules, regulations, policies and procedures of the institution. These are contained in a variety of campus publications and online sources, including [Academic Regulations](#), the [Guide to Undergraduate Programs](#), the [Graduate School Bulletin](#), and the [Graduate Student Handbook](#).

The [Code of Student Conduct](#), approved by the Board of Trustees in 1995, is distributed to all undergraduate students in *The Daily Planner* and is also available on the campus website. The *Code of Student Conduct* defines expected student conduct and describes disciplinary procedures and sanctions for misconduct. Protection of the student's rights, including appeal procedures and mandated time limits, is provided. The [Guide to Undergraduate Programs](#) and the [Graduate Student Handbook](#) contain information about the campus's [Affirmative Action and Nondiscrimination Policy Statement](#), the [Sexual Harassment Policy and Procedures](#), and information on grievance procedures.

All members of the campus community are expected to support a climate conducive to academic honesty. While the faculty members, because of their role in the educational process, have the responsibility for defining, fostering and upholding academic honesty, students have the responsibility of conforming in all respects to that standard. Campus policy requires that students demonstrate their own learning during examinations and other academic exercises, and that all other sources of information or knowledge be appropriately credited. Because scholarship depends upon using reliable information and documentation, the University's [Academic Honesty Policy](#) states that no form of cheating, plagiarism, fabrication or facilitating of dishonesty will be tolerated; this policy is intended to establish and enforce uniform, just and equitable procedures for resolving allegations of dishonesty.

There is an academic grievance procedure that applies to all undergraduate and graduate degree programs, and all other courses offered by UMass Amherst, including those offered by Continuing and Professional Education. This procedure is designed to provide students with an equitable, expeditious process for resolving complaints in which a complainant alleges that some member of the campus community has caused some specified harm related to an academic matter. The [Ombuds Office](#) administers this Policy, which is included in [Academic Regulations](#), an annual publication of the Provost's Office.

[The Faculty Guide](#), a compendium of policies and resources relevant to faculty members, is available on the Provost's Office website. The campus [Code of Professional Ethics for the Faculty](#), speaks to the ethical obligations of faculty and the many roles inherent in the faculty position, including teacher, colleague and member of the campus community. Standards for scholarly conduct and other professional activities are

published in various Board of Trustees documents, including the [Academic Personnel Policy](#) of the University of Massachusetts, which is discussed in Standard Five. These standards endorse academic freedom, openness of inquiry, honesty and fairness.

With UMass Amherst research and development expenditures annually totaling nearly \$153 million, the campus has a variety of policies pertaining to research: financial issues, health and safety policies, and ethics and attribution policies. These include policies on human subjects, controlled substances, disclosure of research results, intellectual property, conflict of interest, joint authorship and faculty compensation for research. All are available at the [Office of Research Affairs website](#) and are described in greater detail in Standard Five.

### ***The Workforce and the Work Environment***

As a part of its [mission statement](#), the Division of Human Resources clearly articulates a goal “to promote and support a work place environment where dignity, ethical conduct and diversity are valued, all employees are respected, their contributions recognized, and their career development encouraged.”

Issues of integrity in the workforce and work environment include equal employment opportunity in hiring and promotion, fairness in performance evaluations and compensation, the provision of a safe and harassment-free workplace, and adequate grievance procedures. Policies and procedures governing personnel are found in Trustee documents, campus Policy statements and union contracts.

The [Office of Equal Opportunity and Diversity \(EO&D\)](#) oversees recruitment and hiring processes for faculty and professional staff, consistent with campus search procedures that incorporate equal employment considerations. EO&D also monitors the filling of classified position vacancies targeted for affirmative action efforts. Consistent with federal mandates, EO&D publishes an annual [Affirmative Action Plan](#), which includes relevant [Policy statements](#) on affirmative action and non-discrimination. It also includes detailed analyses of hiring and promotion activity, and identifies segments of the workforce where minority and female employees are underutilized, and may thereby become subject to affirmative action goals.

Apart from senior administrators and their staffs, the overwhelming majority of employees at UMass Amherst are represented by one of eight unions. In addition to collectively bargained language about rank, responsibilities and compensation, union contracts also contain language concerning grievance procedures as well as non-discrimination clauses that affirm equal opportunity and affirmative action. These contracts are provided on union websites. The unions include:

- Faculty members and librarians: the [Massachusetts Society of Professors/Faculty Staff Union \(MSP/MTA/NEA\)](#);
- Non-faculty professional personnel: [Professional Staff Union, Massachusetts Teachers Association \(PSU/MTA/NEA\)](#);
- Secretarial, clerical and technical personnel: [University Staff Association, an affiliate of Massachusetts Teachers Association \(USA/MTA/NEA\)](#);
- Service, maintenance and skilled craft personnel: [American Federation of State, County, and Municipal Employees \(Local 1776, AFSCME/AFL/CIO\)](#);
- Graduate teaching assistants and research assistants: [Graduate Employee Organization \(Local 2322, United Auto Workers\)](#);
- Residence hall assistants: [Resident Assistant Union \(Local 2322, United Auto Workers\)](#);
- Two separate unions for police officers and sergeants: [International Brotherhood of Police Officers \(IBPO-A, IBPO-B\)](#).

UMass Amherst has established clear policies, practices and collectively bargained requirements for job classification, compensation and performance evaluation. Because performance evaluation is central to decisions concerning retention, promotion and salary, clear procedures are in place for annual evaluations of

faculty and staff; these procedures were established through mutual agreement between employee unions and the administration. The [Professional Staff Salary Administration Program](#) ensures that compensation for professional/exempt employees and some non-exempt employees is competitive and equitable. Other non-exempt staff positions at UMass Amherst are part of a classification structure administered through the Massachusetts Human Resources Division in the Executive Office for Administration and Finance. These salary administration and classification programs contain appeal procedures for complaints regarding position classification and compensation for all non-faculty staff. The faculty collective bargaining agreement contains a minimum salary for each rank, as well as provisions for a salary anomaly adjustment process.

In 1996, the Board of Trustees adopted the [Principles of Employee Conduct](#), which is intended to affirm high standards of ethical practice for employee conduct. In 2000, the Board of Trustees adopted the [Policy on Fraudulent Financial Activities](#), which is intended to affirm high standards of honest financial conduct for employees. The University annually informs employees of specific policies of the Board of Trustees that relate to business conduct.

The campus has comprehensive and well-established grievance systems in place. The Office of Equal Opportunity and Diversity investigates grievances alleging discrimination and administers the [Sexual Harassment Policy and Procedures](#) and the [Grievance Policy and Procedures](#). The Ombuds Office, established by the Board of Trustees and mandated to “assist any petitioner in the procurement of a just settlement of a grievance,” provides another avenue to ensure the fair and equitable resolution of grievances or concerns. Union contracts also contain grievance procedures that may be applicable.

UMass Amherst is committed to maintaining a safe and humane working environment. The campus [Department of Environmental Health and Safety](#) operates a comprehensive environmental health and safety program for the campus. Its responsibilities include: biological safety, campus safety, education and training, environmental health and protection, fire prevention, lab safety, industrial hygiene, and radiation protection.

In response to workplace issues surrounding race and gender, the campus has developed an array of education and training programs. The Office of Equal Opportunity and Diversity has recently expanded the number and variety of educational workshops and training programs it provides. [Workplace Learning and Development \(WLD\)](#), a division of Human Resources, provides training and organizational development services to support diversity and inclusion across campus. A cornerstone of the WLD training program for supervisors is the Supervisory Leadership Development Program.

The Workplace Violence Management Team provides workplace violence education and prevention and recommends measures to prevent violence and threats of violence. The Team continues to publish and distribute an informational brochure that includes campus resources for dealing with concerns about violence, as well as a basic overview of warning signs and protocols. Members of the Team are available for and regularly provide training for campus organizations and departments. This work is part of a broader campus approach to emergency preparedness, which is designed to anticipate and respond to public health and safety challenges; this coordinated approach to emergency preparedness is detailed in Standard Six.

### ***Issues of Community and Accessibility***

One of the University’s strategic priorities is to encourage and enhance a diverse workforce and student body on every campus (See Standard One). UMass Amherst is a community committed to diversity and inclusiveness, and its integrity concerning these issues is evidenced by various support programs the campus has developed for under-represented members of its community. It has numerous offices and groups that directly address issues of community, diversity and social justice. The Student Success Centers, the Ombuds Office and the Office of Equal Opportunity and Diversity provide some important examples.

Student Success Centers offer assistance and enrichment to students of diverse backgrounds and include: The Office of Programs and Services for African-American, Latino, Asian-American and Native American (ALANA) Students; Everywoman's Center; Military Community Resource Center; the Office of Jewish Affairs; and the Stonewall Center, a resource center for lesbian, gay, bisexual and transgender students, faculty and staff. The campus also offers more than 250 [Registered Student Organizations](#); special interest groups include community service organizations, student government, ethnic and cultural groups, religious organizations, fraternities and sororities, student-run businesses, media related groups, groups that grow from academic interests, and groups dedicated to athletics and recreation, socializing, arts and entertainment, and politics.

University policies assume a principle of shared governance. The Faculty Senate, Graduate Student Senate and the Student Government Association all make recommendations to the administration concerning social and academic issues that affect the campus. (These governance groups are described in Standard Three.)

Another Strategic Priority for the University is to “maintain and improve affordability and access” for students (See Standard One). In its deliberations about fee increases in spring 2009, the Board of Trustees, as has been done consistently, provided a financial aid set-aside within the increased fee structure: A percentage of the revenue generated by the fee increase is dedicated to providing increased financial aid for students with demonstrated need.

### **External Constituencies**

UMass Amherst maintains ethical standards and honesty when communicating with external constituencies. University Relations is a campus unit that provides expertise in writing and editing, graphic design, media and public relations, photography and event planning (See Standard Ten).

### **Appraisal**

Under the broad umbrella of integrity, diversity issues have been a focus at UMass Amherst in the past decade: The campus has increased its attention on equal opportunity for employees and students with diverse backgrounds, and has achieved improvements in recruitment and retention.

In fall 2004, former Chancellor John V. Lombardi – saying he was “seriously concerned about the effectiveness” of the campus’s approach to diversity issues – appointed a special Commission on Campus Diversity. In spring 2005, the 23-member Commission, chaired by the Dean of the Graduate School of Howard University, delivered a comprehensive report titled [Diversity and Inclusion at UMass Amherst: A Blueprint for Change](#). Its recommendations were meant to enhance and sustain an inclusive environment at UMass Amherst. These recommendations underwent a period of public review and comment; the Chancellor then released a follow-up document called [On Improving Campus Diversity: An Action Plan](#). It proposed action in two major areas, Academic Affairs and Student Affairs; it reaffirmed the importance of some established programs; and it called for a variety of new initiatives.

Two years later, in June 2007, the campus released a progress report entitled, [Continuing a Focus in Diversity and Positive Climate: An Update of the Actions Indicated in the Campus “Action Plan.”](#) This report details the actions taken in response to the spring 2005 *Action Plan*. Within Academic Affairs, major areas included: Improving Undergraduate Advising; Faculty Recruitment and Retention; Faculty Development; and Re-Thinking General Education. Within Student Affairs, major areas included: Reorganization; Undergraduate Recruitment; and Retention.

The [Office of Equal Opportunity and Diversity](#) and the [Office of Institutional Research](#) monitor employee and student demographic data. These data indicate UMass Amherst has become incrementally more diverse in the past decade. Moreover, the percentage of students from diverse backgrounds mirrors diversity in the



broader Massachusetts population; this is a sign of progress. For instance, the percentage of African-American, Latino, Asian-American and Native American (ALANA) undergraduates grew from 17.8 percent to 19.4 percent from fall 1998 to fall 2008 ([Race/Ethnicity of Undergraduate Students](#)). Similarly, the percentage of ALANA students among entering first-year undergraduates grew from 19.1 percent to 21.8 percent from fall 1998 to fall 2008 ([Race/Ethnicity of Entering First-Year Undergraduates](#)). The percentage of ALANA graduate students grew from 16 percent to 18.4 percent from fall 1998 to fall 2008 ([Race/Ethnicity of Graduate Students](#)).

UMass Amherst also has made small but measureable gains in workforce diversity: From 1998 to 2008, the percentage of minorities in the overall campus workforce increased from 12.8 percent to 16.2 percent; the percentage of women in the overall campus workforce increased from 48 percent to 50.2 percent ([Historical Workforce Comparison by Job Category, 1998-2008](#)). In addition to the campus's overall workforce diversity, it is important to consider percentage and headcount movement within categories of professional employment. The percentages of both minorities and women slipped slightly in the executive/administrative/managerial category from 1998 to 2008. The percentage of both minorities and women ticked slightly upward in the non-faculty professional category during this time. Most employment gain came in the faculty category: The percentage of minority faculty grew from 13.2 percent to 17.5 percent, a gain of 32 percent, from 1998 to 2008; the percentage of women faculty grew from 29.7 percent to 38.3 percent, a gain of 29 percent during that time.

### **Projection**

UMass Amherst will continue to assess the success of its services to its students, faculty and staff, and will continue to cultivate civility, equity and community. It will adhere to all applicable legal and ethical requirements that affect its operations.

The campus will continue to emphasize diversity in its recruitment of students and in its hiring practices. Based on its progress, UMass Amherst expects to maintain and improve its diversity profile as recruitment efforts in problem areas meet with more success and as qualified women and minorities are promoted within the organization. As Chancellor Robert Holub stated in the [Executive Summary – Affirmative Action Plan 2008-2009](#), “Our goal is to achieve a campus where men and women of diverse groups come to understand and appreciate the variety of perspectives which diversity makes possible.”

The campus will continue its honest relationship with the Commission on Institutions of Higher Education and will strive to comply with all Commission standards and reporting requirements, as well as those of all its other legal and appropriate governing bodies.

The campus also will continue to strengthen its integrity in specific, but important ways. The Office of Information Technologies is currently working to enhance data security for campus computing systems (See Standard Seven). The General Education program is planning to offer a new course in ethics entitled, *The Consequence of Choices*.

### **Institutional Effectiveness**

UMass Amherst routinely assesses the integrity of its programs and operations. Academic program assessments are described in Standard Two. Other activities are also evaluated: the Office of Academic Planning and Assessment routinely conducts a Student Life survey and a Senior Survey. The Office of Equal Opportunity and Diversity annually monitors campus workforce demographics, the Office of Institutional Research monitors student demographics, and the Ombuds Office produces an annual report that summarizes the various student or employee complaints that it has investigated. In 2005, a campus Commission on Diversity, after a thorough review of relevant issues, published a report with recommendations for enhancing diversity and civility on campus.