"The institution demonstrates integrity in its practices and relationships."

A section of the mission statement outlines KU’s values:

The University is committed to excellence. It fosters a multicultural environment in which the dignity and rights of the individual are respected. Intellectual diversity, integrity, and disciplined inquiry in the search for knowledge are of paramount importance.

But high-minded principles and procedures alone cannot ensure integrity. Also required is vigorous, occasionally clamorous, and broad participation by the KU community in discussion of campus issues. During the past five years, the forums of governance have heard public debate on a speech code (proposed but not accepted), a policy on consenting relationships, aspects of campus diversity, sexual harassment proscriptions, and faculty and student codes of conduct. The community’s willingness to raise issues and the administration’s and governance’s willingness to hear them out demonstrate a commitment to integrity, intellectual diversity, and inquiry. In general, governance and administration have viewed institutional policies and procedures as open to revaluation, even when the process proves arduous.
In this section of the report, we describe some of the policies and procedures that have evolved to support standards of institutional and individual integrity.

KU conducts its affairs openly, making its policies, facts, and statistics a matter of public record. As arduous as the process sometimes is, its faculty, staff, and governance systems participate in all major decisions.

KU educates new faculty and students about its regulations and expectations and offers a full calendar of workshops for all staff in order to provide this orientation. Annual evaluation applies to non-teaching staff, and recent revisions have established a process of notice and of conflict resolution for unclassified, non-teaching staff.

Faculty are informed, at various levels, about requirements and expectations for promotion and tenure and are provided regular pre-tenure reviews and counseling. Promotion and tenure are founded on peer review.

State and federal regulations governing higher education are followed carefully and are published or otherwise widely disseminated.

KU has promoted a multicultural environment in which individual rights and dignity are respected; several actions and statements from the last decade make this clear. As part of that effort, it has made special efforts to accommodate nontraditional students.

The university has a number of ventures and policies to monitor safety but
needs to coordinate and centralize its resources. It is studying ways of improving its safety programs.

Clear policies are in place governing KU's relations with several affiliated private corporations that support it. It also follows published policies on institutional advancement, which regulate and monitor advertising and fund-raising. It works closely with the city, the county, and community organizations, with which it has cooperated in a "diversity network."

KU prohibits discrimination and racial or sexual harassment, and it enforces equal opportunity policies on campus. In 1993, it launched a major venture, the Blueprint for Diversity, aimed at recruiting more members of minority groups to campus and providing an environment supportive of all.

A hierarchy of grievance procedures and committees is available. This structure has handled, painfully but effectively, several difficult cases, including the dismissal of two tenured faculty members.

KU publishes its fee and refund structure. It operates under a strict state procurement system. Its Office of Research Support monitors federal and state guidelines on research; research involving human or animal subjects, or hazardous materials, requires special committee review and approval. KU upholds policies governing academic misconduct and conflict of interest.

\textbf{Public Disclosure and Openness} As a public institution, KU openly
conducts its affairs. The university budget, which lists the salaries of our employees, is a matter of public record, as are many university documents. Reviews of KU actions and budget requests are conducted in open meetings by the Board of Regents. The Kansas Legislature debates KU and Regents plans and allocations. Media, including a local daily as well as an on-campus newspaper and a radio station (both run by students), query the university and voice their criticism. Governance groups represent KU's major constituencies: faculty, other unclassified staff, classified staff (state civil service personnel), and students. Each group reviews administrative actions and policies, holds open meetings, and publishes minutes. Governance representatives and major campus administrators attend a weekly meeting led by the chancellor.

The 1992 Program Review process exemplifies KU's openness and involvement of many constituencies. Reports from academic programs were reviewed at department, school, and university levels. Final recommendations were announced in fall 1992 at an all-university meeting. An appeals process was established, including public hearings during spring and fall 1993, and recommendations by appeal committees were forwarded to the administration before a final list of discontinued and reorganized programs was announced in January 1994.

KU cooperates in this public evaluation of what it is and does. The Office of Institutional Research and Planning each year produces and distributes Profiles, a
KU strives to be ethical in promoting its activities. Following a Regents directive, the institution rarely advertises. Graduate and undergraduate catalog marginalia point out that departments do not offer in any one semester all courses listed in the catalogs and that students should consult the Timetable of Classes (Exhibit 32) for current course offerings. Prospective undergraduates are advised in the Undergraduate Viewbook (Exhibit 33), KU's primary recruitment document, not to rely solely on numerical rankings of universities and their programs in choosing a college, even though several such surveys rate KU favorably. And KU follows an Action Committee on Higher Education recommendation against use of the Gourman Report on academic standings, even though it rates KU programs highly.

Responsibility for the Workplace.; KU endeavors to maintain an environment conducive to free inquiry. Long-standing Regents and university regulations on such matters as open meetings, academic work and its evaluation, program discontinuance, and conflict resolution safeguard the academic environment.

The university follows the Board of Regents Policy and Procedures Manual.
Handbooks for faculty and other unclassified staff, classified staff, and students articulate university values and individual rights and responsibilities. The University Senate and the Student Senate govern faculty and student conduct. Codes of behavior are published in the Timetable of Classes (Exhibit 32) and the Handbook for Faculty and Other Unclassified Staff (Exhibit 11).

KU recognizes that it is responsible for making members of the campus community aware of and encouraging them to adhere to standards of conduct. The university takes advantage of entry points to educate newcomers about regulations and expected behaviors. At daylong summer orientation sessions, new students and their parents hear about KU policies, see a video on diversity issues, and listen to faculty, administrators, and upperclassmen speak on pertinent topics. The Office of Academic Affairs conducts similar sessions in the fall for new faculty and new graduate teaching assistants. The Department of Human Resources stages orientation sessions for new nonteaching staff members and administrators; it also offers a full calendar of workshops on various employee development and management topics.

Performance reviews and appeals processes are important to the work environment. University nonteaching staff are evaluated annually based on the requirements in their job descriptions. Recent revisions in the unclassified staff area establish a job-evaluation appeal process, as well as procedures for notification of non-reappointment, disciplinary actions, and conflict resolution. In addition to annual
performance evaluations, university administrators (chairs, deans, vice chancellors, and directors) face a more comprehensive review at least every five years. Classified staff members are subject to Kansas policies and procedures on employee reviews, but KU also has established for classified staff an appeals process to resolve job classification and performance expectation disputes. In addition, a conciliation process, a team-building program, and development training are offered to all faculty and staff; none of these is required by state regulations.

Departments, schools, and university inform new faculty about performance levels required for promotion and tenure. Annual departmental evaluations alert faculty members to the strengths and weaknesses of their candidacy. KU’s promotion and tenure process is unusual in the extent to which it is founded on peer review. Committees of peers at the department, school, and university levels review faculty dossiers to determine whether institutional criteria for promotion and tenure have been met in the areas of teaching, research, and service. Department and school administrators indicate their concurrence or nonconcurrence with the committee decisions. If a school committee’s recommendation differs from the department’s, the school committee invites additional written comment or documentation from the department committee before making a decision. This checkback also occurs when the university committee has a different decision from the school's. Promotions in academic rank for adjunct and courtesy faculty and for faculty-equivalent staff follow the same process.
KU takes seriously its responsibility to follow federal and state regulations governing institutions of higher education and to inform the campus about the regulations. Policies cover such concerns as the Family Educational Rights and Privacy Act; racial, ethnic, and sexual harassment; alcohol and drugs on campus and in the workplace; and family and medical leave.

Regulations are communicated in various ways. Throughout the year, all faculty and staff are encouraged to attend Office of Affirmative Action-led seminars on equal opportunity, affirmative action, sexual and racial harassment, and related topics. The office also guides position searches. University employees in charge of contracting or procurement or who hold other positions of interest to vendors are notified annually by letter that they must file with the state a record of their substantial interests. University values and codes and the mechanisms that support them are discussed in such publications as the graduate and undergraduate catalogs, the Viewbook, the Timetable, and the Student Handbook and Datebook (Exhibits 32, 33, and 34). Copies are given to prospective and newly admitted students, faculty, and administrators. The Oread, a faculty-staff weekly, publicizes deliberations on policy and the revisions that are enacted.

Responsibility for the Campus Climate: KU construes broadly its responsibility for promoting a multicultural environment in which individual rights and dignity are respected. A number of initiatives have reinforced public awareness of
KU's values:

!  In 1983, 1990, and 1993, the chancellor used two of KU's most public ceremonies C Opening Convocation and Alumni Weekend = All-University Supper C to reaffirm intolerance of bigotry and discrimination. In the 1983 convocation speech, Chancellor Budig said, AAs a university, we must allow expression to sometimes uncomfortable or controversial ideas and discoveries. But we have no obligation to provide a forum for the worn-out tokens of fear, ignorance, and prejudice. They insult our intelligence; they assault our dignity. They are contrary to the nature of a university; they cannot be tolerated here.@In 1990, the chancellor asked teachers to read a similar statement to every class at the start of the semester.

!  In 1993, the executive vice chancellor charged the assistant executive vice chancellor and director of affirmative action with giving a universitywide accounting and assessment of efforts to create a diverse campus. Termed the Blueprint for Diversity, the plan mandates a regular accounting of university progress during the next 10 years.

!  KU appointed task forces on African-American Student Concerns and on Gay, Lesbian, and Bisexual Concerns. In each case, the administration publicly responded to task force recommendations and made all documents available to the media. (These reports and the administration responses are
available as Exhibit 25.)

KU publicly objected to Department of Defense policy denying Reserve Officer Training Corps scholarships to gay or lesbian students. In 1991, the executive vice chancellor and the Faculty Senate president traveled to Washington, D.C., to present a Statement Concerning Discrimination in the ROTC against Gay and Lesbian Students to the Kansas congressional delegation and to leaders of major educational associations. A passage summarizing the KU viewpoint was added to KU publication descriptions of ROTC scholarships.

In addition to serving the needs that arise on a multicultural campus, KU must also make the campus a welcoming place for a more nontraditional student body and work force. Compared to the past, KU has more students who are parents, more faculty, staff, and students who are single parents. KU has studied and instituted policies to address their needs as these have surfaced. A University Work and Family Committee and a Child Care Task Force, both appointed by the executive vice chancellor, advise the administration. KU and the Student Senate have cooperated to identify student fees and joint public and private initiatives to fund child-care services. A KU Dependent Care Referral Service provides referrals for child- and elder-care services and offers seminars on work and family topics. The Student Assistance Center helps individuals balance work and family
obligations and assists a nontraditional student organization. Memoranda from the executive vice chancellor remind the campus of flex time, job-sharing, and other options to help employees balance work and family obligations.

\section*{Responsibility for Environmental, Health, and Personal Safety Concerns}

The campus must be a healthy and safe place to work. KU maintains an adequate number and variety of safety programs to monitor workplace accidents, hazards to the physical environment, and the like, but it can do more to educate the campus community about workplace and environmental dangers.

KU has many discrete policies but lacks a central authority on institutionwide safety. An Advisory Committee on Campus Safety (ACCS) has recommended that KU centralize health and safety staff, resources, and programs. The administration has been studying this recommendation and has drafted an institutionwide health and safety policy. A restructuring of safety units and implementation of the policy will be completed in FY 1995. On the recommendation of the ACCS, a representative from the KU Environmental Health and Safety Service has been included in KU's physical development master planning process.

The administration also is looking at how other institutions structure health and safety programs. Concerns about safe handling of hazardous chemicals and toxic wastes have prompted a site visit by the university to a national business that enforces safety policies and tracks storage and disposal of hazardous materials. A
manual on Policies and Procedures Governing the Use of Radiation Sources
(Exhibit 26) is updated regularly, most recently in 1993.

An endless challenge is funding: to improve safety programs and to pay for the equipment, personnel, and work space needed to comply with safety code upgrades and federal and state guidelines on newly identified concerns. As the director of radiation safety has said, We come out very well with inspections. The biggest concern we have is financial support to buy equipment. We comply very well with regulations but sometimes cannot comply to the best recommendations.@ Nonetheless, there has been progress.

! In 1993, KU obtained $2.6 million from the state to clean up a federally licensed rural landfill used for the disposal of laboratory byproducts from 1965 to 1982. The cleanup will prevent ground water contamination from buried chemical solvents.

! By fall 1994, Allen Field House will be equipped with emergency exit stairs and other fire safety improvements. An addition soon will be built onto the Natural History Museum’s Dyche Hall for storage of flammable liquids used in preservative solutions. KU secured funds for these projects from the Regents and Legislature.

! The Department of Facilities Operations, one of KU’s largest, has created a training and safety officer position in part to respond to increased accidents
in that area.

A revised health and safety manual for staff will include safety bulletins on ergonomics, blood-borne pathogens, and emergency communication.

The Employee Safety and Health Committee analyzes data on accident reports, investigates safety concerns, and assists with training efforts. The committee includes representatives from employee groups that face greater-than-normal safety hazards: housing, facilities operations, science academic units, and campus police.

A new computer ID-card reader monitors after-hours traffic into all residence halls.

KU annually distributes to all students and others who request it a publication about campus crime statistics and precautions.

Extensive outdoor lighting has been installed to make the campus safer at night.

A network of emergency phones covers the campus, and phone instructions now also appear in Braille.

Responsibility in Relationships with Others. Several corporations
support KU: the Center for Research, Inc. (CRINC), the KU Endowment Association, the KU Alumni Association, the Memorial Union Corporation, and the KU Athletic Corporation. A variety of procedures and regulations helps ensure the integrity of these corporations.

**CRINC.** An agreement of operation binds KU to CRINC, which provides subcontracting and other services primarily to researchers in engineering and related disciplines. Appointments to the CRINC board of directors are interlocked with certain university positions: the president of CRINC is elected by the board, but that position historically has been held by the vice chancellor for research, graduate studies, and public service; the dean of the School of Engineering is vice-president; the KU comptroller serves as CRINC treasurer; the executive vice chancellor as secretary. CRINC is audited regularly by an independent, outside auditor. The audit is a public document. KU is required to report periodically to the Legislature about CRINC activities and functions.

**Endowment Association and Alumni Association.** These associations, both nonprofit, private corporations, are described in Chapter V. Each publishes an annual report and each is audited by outsiders. The document *Institutional Advancement at the University of Kansas: Policies and Practices* (Exhibit 27) provides KU policies on fund-raising and friend-raising by the endowment and alumni associations.

**Memorial Union Corporation.** By agreement, this corporation (described in
the Resources for Students section of Chapter V) is operated in the same manner as a KU administrative unit, and it reports to the vice chancellor for student affairs. Its budget is reviewed by the vice chancellor and is subject to the same fiscal rules and regulations as other administrative units. An outside firm annually audits the budget, and the audit is a public document. The corporation's board of directors consists of five alumni appointed by the alumni association, three faculty appointed by faculty governance, six administrative staff members, and 10 students.

The University and Athletics. Several organizational features demonstrate the degree to which the institution supervises the Department of Intercollegiate Athletics and adheres to the NCAA requirement that universities control athletics. As noted in the Related Organizations section of Chapter V, faculty, administrators, and students make up the majority of the 20-member Athletic Corporation board.

The director of athletics is an employee of KU, not the KUAC, and reports to the chancellor. The departmental budget is reviewed and approved annually by the chancellor and KU fiscal officers. KU required the KUAC to undergo annual audits by an outside firm several years before the NCAA required that of all member universities and colleges. The audit is a public document, filed with the Regents and the State Division of Accounts and Reports.

Other key university units work with the department. Student Support Services helps provide a supportive study environment for student athletes. A full
staff of academic advisers and a faculty mentoring program have produced a very strong academic support program for student athletes. The department cooperates with the Office of Admissions to monitor the student-athlete’s academic progress, and it reports graduation rates to the NCAA and Big Eight Conference offices. The rate for athletes is similar to the overall undergraduate rate.

As of this writing, KU was engaged in self study as part of a new NCAA certification procedure. To date, self study subcommittees on governance and commitment to rules compliance, academic integrity, fiscal integrity, and commitment to equity have gathered data and held open meetings. A final report was due in July 1994 (Exhibit 28).

Recommendations from the NCAA Self Study Committee should help address concerns raised by a Title IX complaint filed with the U.S. Office of Civil Rights (OCR). In December 1992, the Athletic Corporation was asked to respond to 25 data requests and did so in February 1993. Investigators visited campus in February 1993 and again in March 1994, but, as of July 1994, KU had received no further information from OCR.

The complaint included broad allegations that KU is not providing equitable treatment for women athletes as well as two specific charges: that KU did not provide locker room space for female professional staff members and that a female sports information director did not have a private office while a male colleague did. The latter two complaints have been addressed: a locker room opened in
September 1993 and the sports information offices have been remodeled to provide private offices.

KU, like most universities, has wrestled with the problem of funding for women's sports and continues to do so. Students are aware of the problem and are willing to assist the women's programs. In the spring of 1994, students approved an additional student fee assessment to support non-revenue women's sports. A $3 fee will go into effect this fall, and the fee will increase to $6 the following year. The university is committed to making progress in areas of Title IX compliance. An April 6, 1994, Chronicle of Higher Education article singled out KU and two other institutions for their moves to bring equity to coaches=salaries.

KU and the Community. KU and the city of Lawrence have very strong collaborative relations. Several years ago, KU contributed to the purchase of a hook-and-ladder fire truck and this year anticipates purchasing, with the city, county, and several private industries, a hazardous-waste-disposal vehicle. KU also sponsors with the city, the public school district, and Haskell Indian Nations University an organization called the Lawrence Alliance, its purpose to eliminate discrimination citywide. The joint commitment of the city and its educational institutions appears to have increased awareness in the business community. A case in point occurred in 1991. A bus driver for KU on Wheels, operated by a local firm, heckled two gay students. The students complained to the KU police, the KU ombudsman, KU on Wheels, and its parent company. The company president took
disciplinary action, and his apologetic letter to the students abated ill feelings and
defused the incident.

The town-gown commitment to nondiscrimination has inspired other
activities. The KU Coalition Against Racism and Discrimination, the KU link to the
Lawrence Alliance, holds its own campus meetings to discuss ethnicity, gender,
culture, and related issues. KU human resources staff members train other
university community members to lead diversity workshops. And university staff from
the human resources, affirmative action, parking, police, supportive educational
services, and student advising sectors have formed a diversity network with
Lawrence Unified School District 497 teachers and Catholic Social Services
counselors. The network has led workshops on multiculturalism for South Junior
High and Hillcrest Grade School faculty members, Lawrence Alternative High
School students, Lawrence High School student organizations, school district
administrators, staff from the Cottonwood agency for the disabled, and new recruits
of the Lawrence Police Department.

University commitment to a healthy town-gown relationship serves in other
ways. The city and KU have cooperated in setting and enforcing a prohibition
against possession of open containers of alcohol on campus. KU has invited
neighborhood organizations bordering the campus to review and discuss the
institution's long-range plans and how they might affect surrounding neighborhoods.
Several topical examples reveal how KU addresses matters of ethics and equity.

**Academic Issues:** Attitudes toward academic honesty are being examined on several fronts. A University Committee on the Freshman/Sophomore Experience is evaluating classroom activities, academic integrity, and student experiences with faculty. At a 1994 University Forum, a public event, the KU ombudsman discussed the implications of academic misconduct. This presentation also was part of KU Connection, a program fostering interaction between KU and community college faculty. The subject of academic misconduct will be part of the University Academic Policies and Procedures Committee of Governance for the 1994-1995 academic year and the topic will be addressed by the "Educating for the 21st Century" conference that will be sponsored by governance during the coming year.

**Equal Opportunity and Nondiscrimination Policies:** KU provides policies and programs conducive to equal opportunity in employment, conditions of employment, admissions, services, and participation in campus activities regardless of race, religion, sex, disability, national origin, ancestry, sexual orientation or on marital or parental status, and, to the extent specified by law, age or veteran status. University policies prohibiting discrimination based on sexual
orientation or on parental and marital status are not currently required by law. University policies on nondiscrimination are published in the catalogs and in other documents.

KU also is committed to increasing the number of affected class members and their participation on campus. These include veterans, as covered by law; persons with disabilities; and, in areas where they are underutilized, women and minorities. For both employment and educational programs, KU recruits and encourages applications from members of such groups, and it endeavors to provide them a supportive environment. The institution's modest success in these areas has been mentioned in earlier chapters.

KU also has a standing committee to monitor compliance with the Americans with Disabilities Act and to review disability issues, including campus accessibility. The Student Assistance Center, an advocate for students with disabilities, works with faculty to make classroom accommodations for students. Any evidence of discriminatory practices are acted upon promptly through the Equal Opportunity/Affirmative Action grievance procedures. Acts of retaliation for participation in grievance procedures are prohibited.

To further efforts to create an environment supporting a multicultural constituency, KU in 1993 launched the Blueprint for Diversity mentioned earlier. It is to multiculturalism what a master plan is to physical development or Program Review is to academic planning. It exists to ensure that the KU climate supports
diversity; to maximize programmatic resources for diversity; to anticipate the needs of students, faculty, and staff who bring diversity to the campus; to employ the most effective means of recruiting and retaining those who add to campus multiculturalism; to offer model programs, services, and activities; and to address needs that result from campus diversity.

Key players are the deans, directors, and vice chancellors—those responsible for the services, programs, and policies that affect how the institution meets its commitments. Leading the initiative is the director of affirmative action, who was promoted to an assistant executive vice chancellor position to add authority to the blueprint mission. This promotion also portrays the blueprint and its priorities as institutionwide concerns. Members of KU boards and advisory groups that study minority representation, human relations, multiculturalism, and affirmative action will all contribute. Reports and recommendations of the task forces on African American Student Concerns and Gay, Lesbian, and Bisexual Concerns will supply data and suggest direction.

Blueprint strategy divides into four phases. Phase One, begun in spring 1994, includes (1) inventorying campus diversity programs, (2) examining strategies that work or that need improvement, and (3) documenting achievements. Phase II will identify steps to take the next three years. Phase III will set goals for the next five to 10 years.
The Grievance Structure and Due Process: A hierarchy of grievance committees extends from individual academic programs and departments to the school level. The offices of Affirmative Action on the Lawrence and Medical Center campuses have grievance procedures, including a Discrimination Hearing Board, for equal opportunity/affirmative action complaints. KU maintains a Judicial Board. The Faculty Senate has a standing Committee on Tenure and Related Problems to handle conflicts. Grievance processes exist for classified staff and are being formalized for unclassified staff. All university staff have the right to appeal job performance evaluations. Nearly two decades ago, KU established an ombudsman office as a neutral setting for conflict resolution. The ombudsman reports annually to the community and is reviewed by committee every three years.

The grievance structure has handled two faculty-dismissal cases in the past six years. KU is the only Regents institution in Kansas history to have dismissed tenured faculty. The two cases differed greatly, but both centered on allegations of long-standing patterns of offensive behavior. In the first case, the faculty member unsuccessfully appealed the dismissal to the Regents. The second faculty member’s appeal to the Regents is pending. Many across campus asked why the allegations and complaints hadn’t been addressed and resolved earlier, and campus opinions on the dismissal decisions and how the grievance process worked are mixed, as one might expect. But both experiences have been valuable tests of grievance procedures and have initiated discussions of how to improve
them. A conclusion has emerged that the grievance structure, while serviceable, could be streamlined. Governance and the administration are considering modifications.

A policy on consenting relationships (Exhibit 29) has evolved from discussions that followed the second dismissal hearing. Whether and when consenting relationships between faculty, staff, and students constitute unacceptable or unethical conduct are matters of debate. The debate has triggered an interest in revising KU policies on what constitutes conflict of interest for faculty and staff. In the coming year, faculty governance and the administration will begin to clarify those policies.

.Racial and Sexual Harassment:. KU prohibits all forms of racial/ethnic and sexual harassment. Any student or employee may file a complaint of harassment through the Office of Affirmative Action, which is responsible for administering the "Racial and Ethnic Harassment Policies and Procedures" and "Sexual Harassment Policies and Procedures" (see Exhibit 30). In addition, KU has developed training programs and brochures designed to sensitize the community to harassment issues.

KU is no more immune to harassment controversies than the larger society. It has experienced blatant and illegal incidents of racial and sexual harassment. But when they have occurred, KU has taken measures in an attempt to forestall their
recurrence. A March 1990 event offers an example.

A student living in an off-campus fraternity house verbally assaulted and knocked pizzas from the hand of a black female delivering them to the house one evening. The incident raised the question of whether KU was adequately educating students and others on campus about coexisting in a multicultural environment. Several actions were taken. A short film about diversity was created and shown during the next academic year before all feature films presented in a popular university film series, and a longer film was developed for summer orientation sessions for new students and their parents. The Greek system created an ongoing program committee to educate and sensitize fraternity and sorority members to ethnic, gender, cultural, and sexual orientation issues. Other campus housing groups set up sensitivity sessions, and a faculty/staff sensitivity training session was initiated.

The offending fraternity house agreed to a three-year plan to sensitize members. The student himself was fined in court and placed on two years = probation.

.c2. Ethics in Fiscal Matters:. KU explains its policies on refunds of and adjustments to tuition and fees in each issue of the Timetable, the primary document for enrollment. The policy includes a calendar defining the dates by which a student must withdraw from courses to receive 100 percent and smaller refunds and
outlines steps for appealing decisions on refunds.

The state operates a strict procurement system. Vendors are selected on the basis of lowest bid. University purchasing procedures add another layer of fiscal accountability. KU requires all units to follow its Business Procedures Guide (Exhibit 31). Extensive documentation is required to purchase items not on state contract. When such items exceed $1,000, bids must be secured from at least three vendors and records maintained for several years. KU purchasing staff monitor departmental purchasing records. There are disadvantages to such a conservative system. Complaints about the quality of state-contract goods and red tape abound. But it is generally perceived that the system is a barrier to misconduct.

Kansas requires employees in policy-making or purchasing positions to file annually a Statement of Substantial Interests. The report discloses financial interest, compensation, and financial assets. The executive vice chancellor’s office works with other large administrative units to identify individuals who must file disclosures; the disclosure document goes directly to the state. Failure to file can result in a misdemeanor penalty. This process has directed attention to individuals not at arm’s length from purchases over which they have authority, but KU has not experienced a major breach of law in this area.

.C2. Ethics in Research:. On the Lawrence campus, the Office of Research Support and Grants Administration (RSGA), under a vice chancellor’s supervision,
oversees all proposals for new or continued external support of university research, instructional, and service projects. RSGA establishes sponsored project budgets, maintains them as university accounts, and sees that they follow costing principles. At the Medical Center, the Office of Graduate Studies and Research Administration performs parallel functions.

RSGA is responsible for compliance with all federal guidelines on research, including that which involves human and animal subjects. Two advisory committees monitor grant applications for their adherence to the guidelines. Both committees include an expert with no KU ties. KU takes the position that the federal provisions on human and animal experimentation apply to all research involving humans or animals, regardless of funding. University procedures for research involving human or animal subjects, ionizing radiation sources, or hazardous materials are outlined in the Handbook for Faculty and Other Unclassified Staff (Exhibit 11) and are summarized in the Graduate Catalog.

KU upholds policies regarding scholarly misconduct and conflict of interest. In the 1980s, the federal government directed universities to create channels for the reporting of scientific or scholarly misconduct and to provide a system of dealing efficiently and fairly with such reports. The system the university devised was updated in 1991 to meet additional federal guidelines; it has effectively handled misconduct reports, striving both to deter wrongdoing and to protect those who may be the target of unfair complaints.
The misconduct policy, which covers research by faculty and unclassified staff, appears in the faculty/staff handbook. The Student Code of Conduct, printed each semester in the timetable, covers student research. KU follows the federal requirement to inform the campus periodically about misconduct policies and procedures. This is done by letter from the research vice chancellor to faculty and staff and during presentations at new faculty orientation.

Every two years, KU offers a course on the ethics and traditions of disciplined research, Issues in Scientific Integrity, taught by a university distinguished professor. It is required for all graduate students who receive NIH-funded training grants in the hard sciences. Although the course was created to satisfy a federal directive, it builds on ethical principles practiced by the KU scientific community.

To monitor consulting and other outside work, KU has built on policies established in the 1960s. While it recognizes that consulting activities related to faculty expertise are valuable, it also recognizes the possibility for conflicts of interest. A "Consulting and Outside Work" policy in the Handbook for Faculty and Other Unclassified Staff (Exhibit 11) focuses on conflicts of commitment activities that interfere with a faculty or staff member's fulfilling his or her full-time responsibilities to KU. Reporting procedures for this policy have had shortcomings, so the Office of Academic Affairs recently specified steps for handling reports on consulting and outside work. Other areas of conflict of interest are addressed under
a separate policy.

KU has just received new federal guidelines on preventing conflicts of interest. KU established a working group to review current policies dealing with conflict of interest, as well as to anticipate procedures that could carry out new federal guidelines. University policy will likely be expanded and procedures developed to parallel current state disclosure requirements that require certain staff members periodically to report external compensation, stock ownership, and other obligations to outside management.

KU practice in matters of research ethics can be witnessed in the creation of an Office of Technology Transfer. The office will engage in such activities as patenting and copyrighting, forming start-up companies, and transferring intellectual property. As the center evolves, policies and procedures will need to account for interactions between KU researchers and industrial partners. State policies and federal guidelines are forming the basis for these. Guiding principles are under review by the Office of the General Counsel. RSGA will monitor fiscal policies. And KU is planning seminars to orient faculty and staff members to the issues.