



UNIVERSITY OF MINNESOTA
TWIN CITIES

All University Senate Consultative Committee

220 Biological Sciences Center
1445 Gortner Avenue
St. Paul, Minnesota 55108

Telephone (612)373-3226

AGENDA

SENATE CONSULTATIVE COMMITTEE
Thursday, April 8, 1982
12:30 - 1:15 p.m.
Regents Room, Morrill Hall

1. Fix agenda.
2. Minutes of March 18.
3. Report of the Chair (enclosed).
4. Report of the Student Chair.
5. Committee reports.
 - a. Finance
 - b. Subcommittee on financial exigency
 - c. Other?
6. Old business.
 - a. Survey of unit planning/consulting.
7. New business.
 - a. Senate and Assembly meeting schedule for 1982-83
(enclosure from Marilee Ward)
 - b. Committee on Committees reports (please bring the
two reports distributed for March 18)
 - i. Future of Council on Liberal Education (CLE)
 - ii. Civil Service representation on Senate and
Assembly committees.
8. Items for conversation with the President.
9. Adjourn.



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MINUTES
SENATE CONSULTATIVE COMMITTEE
April 8, 1982

The regular meeting of the Senate Consultative Committee was convened by Chairman Douglas Pratt at 1:50 in the Regents Room of Morrill Hall. Other members present: Bea Anderson, Robert Brasted, Marcia Eaton, Virginia Fredricks, John Howe, Keith Jacobson, Dennis Kronebusch, Dave Lenander, Rick Linden, Marv Mattson, Rick Purple, Paul Quie, Donald Spring, Pat Swan, Kit Wiseman.

Guests included Virginia Gray, Mary Corcoran, Paul Reynolds, Carol Pazandak, Mary Jane Plunkett, Wesley Simonton, Maureen Smith, Julie Bates, and a WMM reporter.

1. Fix agenda. The meeting had been inverted, starting the conversation with the President at 12:45, when Vice President Keller could attend. The SCC agreed to add under New Business a preliminary discussion of the proposed policy revisions of the Committee on Human Subjects in Research.

2. The minutes of the March 18 meetings were approved as distributed.

3. Report of the Chair had been distributed with the packet. Professor Pratt summarized the items.

4. Report of the Student Chair. Kit Wiseman.

a. Social Concerns Subcommittee on Social Responsibility in Investments. Professor Robert Holt had commented in the April 6 Senate meeting on the need for Senate overview of the recommendations that body sends to the Regents. Ms. Wiseman reminded the SCC that many students take an active interest in the issue and have involved and informed themselves.

Professor Pratt described Professor Holt's point as that it would be wiser for Social Concerns to route their reports and recommendations through the Senate. Professor Spring said the constitution does not provide for Social Concerns to make a recommendation to the administration without informing the Senate. Professor Pratt expressed his intention to call the Chairwoman of Social Concerns and request that her committee report through the Senate, and to call the Secretary to the Board of Regents and inform him that the present recommendations have not been brought to the Senate. The SCC moved and seconded these actions with the addition of a friendly amendment that Professor Pratt also ask Business and Rules to take the matter under advisement and make sure all concerned are interpreting the constitution in the same way. The motion was carried without dissent.

b. The students are preparing committee appointments. Ms. Wiseman invited faculty to recommend excellent students, both undergraduate and graduate, for committee assignments.

c. MSA would be honored to have the FCC members attend its training session retreat in May.

d. The student SCC this morning discussed tuition policies with Vice President Keller, including per-credit tuition and the evening MBA system of partially dedicated tuition.

5. Committee reports.

a. Finance. Professor Swan summarized the items from the morning meeting of the committee.

b. Subcommittee on financial exigency. Professor Spring reported that the Tenure Committee had developed a rough draft revision of Section 15 of the 1973 proposed tenure code to take to the Senate, but will not forward that document because of advice from committee adviser Robert Morris and the SCC.

The financial exigency subcommittee will soon have a draft text for both the Tenure Committee and the SCC to consider. The subcommittee wants the Senate to pass this spring a document specifically on fiscal exigency since it will take another year or more to revise fully the entire tenure code and get Senate approval, and a financial emergency may erupt in the meantime. Professor Spring emphasized that the document the subcommittee submits will not be a draft of Section 15, although eventually it might become the basis for revising Section 15.

Professor Swan noted that the agenda for the May 20 Senate meeting is growing to marathon proportions. It will be important to determine the full extent of business to be brought and whether a continuation of the meeting on May 27 will probably be needed. The chairman and the secretary will assess this likelihood, particularly at the April 22 Facilitative Committee meeting, and report to the SCC on April 29.

6. Old business.

a. Unit planning/consulting survey. Reports are in from the faculty senators in 23 of the 26 units addressed, including all the largest units. Student response has been light, in part because there is so little student participation in planning. Virginia Fredricks moved the SCC send copies of the report to faculty senators, department heads, and student organizations. The motion was seconded, and carried without dissent.

7. New business.

a. Schedule for 1982-83 Senate and Assembly meetings. Marilee Ward's proposed schedule had been distributed. The students would prefer a date earlier than December for the fall quarter Senate meeting. The SCC directed the chairman to discuss two changes with the clerk of the Senate, and enact them if she agrees they are feasible: (1) move fall Senate meeting from December 2 to November 18 and hold it in conjunction with the Assembly meeting; (2) move first spring quarter Senate meeting from April 21 to May 5 and hold in conjunction with the spring Assembly meeting. Retain February 17 and May 19 Senate meetings and January 27 Assembly meeting. (Note: Marilee Ward has approved the changes.)

b. Committee on Committees reports. Mary Corcoran and Virginia Gray, co-chairs.

i. Future of Committee on Liberal Education. Professor Corcoran traced the committee's history. The All-University Council on Liberal Education originated under President O. Meredith Wilson and was charged with establishing minimum liberal arts requirements for various baccalaureate programs. The Senate constitutional revision committee gave lengthy consideration to CLE's status and, as an interim measure, made it a committee of the Senate.

Committee on Committees this year asked acting chairman Tom Benson to review the committee's activities, especially regarding their relationship to Senate business and the method of membership selection. CLE jobs are to monitor the liberal arts requirements in baccalaureate degree programs, and to award small grants and other teaching awards.

Committee on Committees believes the monitoring can be handled administratively better than by a committee, and that the handling of small grant and teaching awards could be done by a special subcommittee of SCEP. SCC members suggested the additional responsibility for SCEP could be heavy. Professor Corcoran said SCEP has not expressed opposition to the proposal. SCEP could structure a way to farm out the task of grant awarding so the change would not add to its work load. SCEP's membership does not contain the program representation that CLE has.

Professor Swan said that while she favored trying a new arrangement, CLE does serve a unique function in providing the forum where certain cross-college concerns are discussed. Kit Wiseman echoed the desirability of retaining such a forum.

Professor Brasted, who chaired SCEP before joining the SCC, referred to his long interest in establishing a body explicitly concerned with undergraduate education. In December 1979 he sent the constitution revision committee a proposal for establishment of a council on undergraduate education.

Professor Spring moved the SCC accept the recommendations of the Senate Committee on Committees for disestablishing CLE and dispersing its responsibilities to other bodies. The motion was seconded, and carried without dissent.

The SCC will schedule this spring a discussion with Vice President Keller on the overseeing of undergraduate education following CLE's demise.

Professor Spring asked the Committees' co-chairs whether the note in "Brief" some weeks ago was correct in stating that it has been harder this year to get committee members and that more mid-term vacancies have occurred to be filled. Professor Gray replied that it has been harder to keep the Judicial committee filled this year than last year.

ii. Civil Service request for Senate and Assembly committee representation. Professor Gray reported that the Committee on Committees favors agreed-upon principles of representation, rather than ad hoc consideration of each request for a place on a committee. The Civil Service Committee has requested representation on ACIA, Recreational Sports, and the Calendar Committee. A decision regarding civil service representation could serve as a precedent for professional academic classes of employees as well. Professor Gray asked the SCC to comment on the possible policies stated in C. on C.'s February 26 memorandum.

Professor Spring moved that recommendation 3.a. in the memo be the statement of principle to determine civil service representation on committees. The motion was seconded, and carried without dissent.

That policy recommendation is:

"Civil servants do not have right to serve on all Senate committees but they do have a provisional right to serve on certain committees. The justification might be as follows:

"civil servants have a right to serve on committees whose policies affect them directly, i.e., which regulate their lives in important and inescapable ways. The parking and the health service committees would be examples. This logic might even be extended to those committees which are the only way to voice concerns of civil servants, e.g., Social Concerns."

c. Committee on the Use of Human Subjects in Research. Preliminary discussion of proposed policy revision. Guest: Paul Reynolds, Chairman of the Human Subjects subcommittee which developed the report and ballot on policy revisions.

Professor Reynolds came to the SCC to propose amendments to the policy voted upon and to explain his reasons. The amendments represent his personal position. He distributed copies of the proposed amendments, referenced to the proposed policy revisions previously sent to SCC members.

Professor Reynolds explained that less than a majority of the 57-member Human Subjects committee attended any committee meetings, and less than a majority voted upon the revision through a mail balloting. The plurality-winning position received 16 votes. It would be impossible to convene a quorum, he said. He suggested that less than a majority voted because the issue is too technical and complicated.

A federal control system was developed about 12 years ago which provided close surveillance over human subjects research. In some instances the surveillance, he said, infringes upon the investigators' rights as citizens. He said there is a policy and philosophical issue of considering the rights of investigators as well as of subjects. Over the past two years the federal government has recognized that control was excessive, and has relaxed the control. The former HEW secretary signed the relaxed policy document just before leaving office at the end of the Carter administration. The new Health and Human Services policy defines three classes of research involving human subjects:

- 1) research which is benign or innocuous and needs no prior review;
- 2) research which is problematical and requires the review of one committee member;
- 3) research requiring review by a full committee.

The proposal chosen by a plurality of the Human Subjects committee essentially disregards the first classification, and says that an investigator must send in a report of intended research and await written approval before beginning work. Professor Reynolds' amendment would retain the requirement of written notice of work to begin but permit the investigator to begin work as soon as he/she had sent the form announcing the work. (No "exempt from prior review" category could be established here without the approval of the Regents.)

Professor Reynolds stated his three objectives in a policy revision:

- 1) establish for the University of Minnesota a category of research which is exempt from prior screening;
- 2) adequately recognize the investigator's rights as well as the subject's rights;
- 3) assure University assistance to an investigator who has followed all required procedures and yet is subsequently sued.

The assumption is that the investigator would determine the appropriate classification for his/her research project. Professor Eaton asked whether the subject is assured protection from being taken advantage of by an investigator when that investigator has determined the classification. Professor Reynolds answered that there is very little evidence that investigators try to take advantage of subjects, and also very little evidence that prior review protects subjects from any less than scrupulous investigator.

Professor Spring recommended the SCC seek the opinion of the University's General Counsel on the questions.

Professor Swan suggested that knowing a group of one's colleagues will review one's proposals may make an investigator more careful in designing the research. Professor Reynolds remarked that most proposals are of appalling quality. The review committees do not assess the scientific merits of a proposal. He gave examples of the questions the review panels must decide and which he said made members reluctant to spend their time that way, such as whether it is necessary to obtain prior informed consent from participants for a researcher who wants to take slow motion photos of skiers crossing the finish line of a cross-country ski race.

In response to Dave Lenander's question on how many researchers have been sued, Professor Reynolds replied that Proctor & Gamble is currently suing a University of Minnesota researcher on toxic shock for the identity of his subjects.

The SCC continued the item to a later meeting.

The meeting adjourned at 4:00 p.m.

Respectfully submitted,

Meredith Poppele, SCC Secretary



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Report of the Chair for April 8, 1982 meeting.

1. Tenure Code revision. Professor Robert Morris of the Law School, who has agreed to serve as legal advisor to the Tenure Committee this year, has found serious shortcomings in the proposed revision of Section 15 which the Tenure Committee had hoped to take to the Senate for information on April 6. That text will not go before the Senate. Professor Stephen Gasiorowicz, Chairman of Tenure, has agreed to channel his committee's eventual report to the Senate through both the Faculty Affairs Committee and the SCC.
2. Academic Staff Professional and Administrative Personnel: Senate enfranchisement? Business and Rules has tentatively developed a constitutional amendment regarding Senate membership and voting eligibility for the academic staff professional (9300) class. The recommendation is that they be eligible to vote for senators and to be elected to the Senate from the academic unit where they are employed, but that their numbers not enter into the count to determine the number of senators to which their unit is entitled. Business and Rules is now gathering two sets of information:
 - (a) The actual number of 9300 employees in each collegiate unit;
 - (b) Reactions to their proposed amendment from the colleges, through inquiries of all deans and of the most interested other parties-- particularly CEE, the Libraries, and University College.

David Giese, Business and Rules Chair, will attend the SCC's April 29 meeting and report his committee's recommendation based upon their finding. They intend to report to the May 20 Senate meeting.

3. Planning/Consulting survey. We have received the response from a Medical School Senator. The summary is enclosed and the original will be circulated at our meeting. We must now decide whether oral reports to the Senate are sufficient or whether we will publish the summaries.

4. Policies revisions of the Committee on the Use of Human Subjects in Research. SCC is the committee through which Human Subjects reports to the Senate.

Enclosed is the complete text of the committee's proposed revisions in policies and procedures, together with a cover letter from Co-Chairman John Sauk.

The item is to be submitted for the Senate docket by May 6. The SCC will consider the document at its April 29 meeting.



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REPORT OF THE SENATE CONSULTATIVE COMMITTEE
ON FACULTY PARTICIPATION IN PLANNING
AT THE COLLEGIATE UNIT LEVEL

In December, 1981, the Senate Consultative Committee undertook a survey of faculty and student participation in the planning process at the collegiate level. Summaries of the reports on faculty participation are reported here. The Chairman of the SCC wrote to one faculty senator in each of 26 collegiate units requesting an assessment of the nature and degree of consultation on planning with faculty generally, and in particular during the program prioritizing process of the preceding several months. Points of comparison were documents on collegiate planning processes which each college had submitted to a subcommittee of the Planning Council late in 1979. The Consultative Committee received responses from senators in 23 units. Most senators responding had discussed the question with a number of colleagues before preparing their reports.

Douglas C. Pratt, Chairman,
Senate Consultative Committee
April 12, 1982

Distribution of Senate Consultative Committee's Report on Faculty

Participation in Planning at the Collegiate Unit Level:

146 department heads and chairs

173 Senators

12 administrators who are also Senators (Council of Academic Officers)

9 SCC student members

26 to deans

4 to provosts

(there are overlaps in the above list)

SURVEY ON FACULTY PARTICIPATION
IN UNIT PLANNING

AGRICULTURE. C. Eugene Allen reporting.

(The report emphasized that the dean of agriculture is not the chief administrative officer for research and extension-related activities carried out by agriculture faculty through the Experiment Station and Agricultural Extension.)

The College Faculty Consultative Committee (FCC) participated with former dean Tammen in discussing the 1981 cycle of program priorities, and the FCC has since met with Dr. Hueg. However, there has apparently been no FCC contact with regard to the actual program priority listing in the last few months (through mid-January, 1982).

Desirable changes:

- 1) better communication between FCC and faculty in each department;
- 2) more resident faculty involvement in agriculture research needs and issues;
- 3) open faculty discussion of the planning process on an occasion such as the College Faculty meeting;
- 4) more timely reporting of major issues down to department heads; apparently department heads were not informed of the priority listings until about January 25.

AGRICULTURAL EXPERIMENT STATION. J. W. Rust reporting.

The opinion of several colleagues with whom he checked and his own opinion is that consultation works very well on an informal basis. Communications are open. There are annual retreats.

It was a faculty committee which developed the December 1979 "Statements on Mission, Planning Assumptions, Goals, Objectives and Priorities," and faculty response influenced the final version of director Sauer's final, September 1981, version of "Changes in Policies and Procedures of the Minnesota Agricultural Experiment Station," which relates to program priorities.

AGRICULTURAL EXTENSION. Harry Burcalow reporting.

It was the consensus of the agricultural extension senators and, they believe, their colleagues, that planning and consultation have been satisfactory, and they see no need to change the policies and procedures. They see no administrative attempt to ignore the faculty. They wish, however, that the consulting process would be used continually.

BIOLOGICAL SCIENCES. John Anderson reporting.

There is general satisfaction with the process. Those unsatisfied "seem to feel that administrators have malevolent intentions."

The normal planning process has been augmented by a Long Range Planning Committee and an Ad Hoc Faculty Budget Committee. The Administrative Committee, comprised largely of department heads, is influential. Consultation from that group's members downward within departmental faculties appears to be increasing, but varies widely from one department to another.

The Long Range Planning Committee (one faculty member from each department, selected by the dean from a double slate submitted by the faculty) devoted a great deal of time and solicited much faculty input to preparing the CBS long range planning document.

The Ad Hoc Faculty Budget Committee (one elected member per department) has been active since the fall of 1981 and its report has gone to the Administrative Committee.

DENTISTRY. Steven Keck and Harold Messer reporting.

Faculty participation has not been sought to a significant extent in the planning process. The Long Range Planning Committee is inactive, and there is no faculty consultation per se. However, "faculty would like to be better informed concerning the decision-making process at the administrative level."

EDUCATION. Jack Merwin reporting.

Report expressed general satisfaction. Professor Merwin distributed a questionnaire to 35 people and received 22 responses. Assessment was that the system works much like what was described in 1979 (the Administrative Council meets bi-weekly, the appointed Educational Policies Committee and the elected Consultative Committee meets 2-3 times per quarter). Faculty indicated a desire that there be (1) greater interest in the part of the faculty in being involved, and (2) more direct involvement of the faculty.

FORESTRY. Tim Knopp reporting.

Consulting could be improved. There is a good deal of informal rapport, and faculty are generally kept promptly informed on development and decisions. However, faculty cannot be sure that decisions have not already been made at a level above the collegiate unit and that they are only told when it is too late to have input. There is "confusion as to how the planning process and resulting documents enter into decisions." These uncertainties have led to frustration. The faculty hope for maximum faculty input into improving the planning/consulting system.

GENERAL COLLEGE. Allen B. Johnson reporting.

General college senators indicate satisfaction with the continuing internal consultation process. Two faculty-elected committees, the Long Range Budget Planning Committee and the Faculty Committee, meet for discussions with the college administration.

GRADUATE SCHOOL. Ken Zimmerman reporting.

Planning arrangements for the graduate school proper are reasonably satisfactory since the dean's office has direct access to the immediate graduate school staff and budget.

The structure with respect to planning for more than the 180 Master's and Ph.D. programs is unsatisfactory, since the budgetary colleges and the graduate school "share responsibility for the present and future of the graduate programs. In short, there is no agreed upon forum for the graduate school dean and a given budgetary college dean to consider the advantages and disadvantages of strengthening, trimming or, indeed, eliminating selected graduate programs."

HOME ECONOMICS. Eugenia Davis reporting.

There is satisfaction with the process of the elected Policy and Planning Committee. Faculty participation and communication of information out to the faculty are good; there was good consultation regarding the items for de-emphasis required by central administration. "Part of the problem for the faculty consultative process is accepting the fact that the Planning Documents are, in fact, being implemented and are becoming a reality."

LAW. Steve Dunham reporting.

The process is satisfactory. There are bi-weekly faculty meetings for consultation. The dean consults on some specific matters with the Consultative Committee, and consults from time to time with two or three faculty members particularly interested and/or competent in administrative/budgetary matters.

LIBERAL ARTS. Bruce Overmier reporting.

The planning "process (is) seen as generally fair and in the best interests of the College."

Professor Overmier sampled the CLA faculty with a questionnaire to 25 persons who were varied among the ranks of chairs and directors, members of the CLA Assembly or other major committees, and faculty in neither of these categories, and also varied in the size and stature of their units. All the chairs and directors responded, and half of each general group of faculty responded, in time to be included in the report.

Chairs perceive that the process followed is that outlined in the college report of 1979. Faculty see the Budget Advisory Committee, whose members are appointed by the dean from the membership of the CLA Assembly, as more centrally involved than that report indicated. Respondents ranked bodies as to relative importance:

- | | |
|------------------------------|---------------------------|
| #1 Deans | #5 Consultative Committee |
| #2 Budget Advisory Committee | #6 Faculty |
| | #7 Assembly. |

What the faculty say they want most:

- Information -- to get critical information relevant to their units before it appears in the Daily;
- Democratization of opinion-gathering;
- Up-to-date, accurate information to be the basis for decision-making and faculties, chairs and units to have a chance to examine the data used for critical decisions and correct those data when necessary.

LIBRARIES. Gertrude Foreman reporting.

Professor Foreman interviewed widely before compiling her report. She found considerable faculty frustration. There was no consultation between the director and the Library Faculty Council in establishing the 1981 program priorities. Rather, the director and several unit library directors collectively discussed the matter; some directors, at least, took the plans back to their department faculties for consideration and suggestions.

Overall, planning and consultation occur through the administrative structure, that is, through the University librarian (director) and the directors of the various libraries. Changes are seen as needed, including involving the Library Council in all major issues at an early stage.

MANAGEMENT. Mario Bognanno reporting.

The 1979 priorities statement was applied in 1981.

The Executive Committee (also known as Faculty Executive Committee) is comprised of the deans and chairpersons and augmented by ex officio memberships of program directors. Faculty input is channeled through the six department chairpersons. Professor Bognanno sent a lengthy questionnaire to the chairs. Four of the six responded. He also canvassed colleagues in the school.

The report does not fully assess faculty consultation. One chairperson stated that faculty input depends upon the department chairpersons and program directors exercising their responsibilities to gather the input. The faculty have had a large role in selecting their chairs.

There was Executive Committee and faculty involvement in formulating program priorities drafted in 1979 which were designed to cover the period from 1980 to 1984. However, with regard to the current situation, there was neither Executive Committee nor faculty consultation in the process resulting in the 1982 Program Priorities Statement to be submitted to the regents in February. Program priority "shifts" differentiating between the content of the two documents referenced above were neither discussed with the Executive Committee nor at meetings with the faculty.

MEDICAL SCHOOL. Mary Dempsey reporting.

Planning and consultation have proceeded generally, and during the 1981 cycle of program prioritizing, in the manner described to the Planning Council of 1979:

- 1) The Administrative Board, composed of department heads, has the more formal decision-making authority;
- 2) The Faculty Advisory Council includes four members elected for 4-year terms from the entire Executive Faculty of approximately 450, plus two members who are heads in Basic Health Science departments and two who are heads in Clinical Science departments. It meets once or twice quarterly, or on call by the dean, and is advisory to the dean.

Other faculty members have input by way of their respective department heads.

No need was seen for change in these practices. What is needed is for the individual faculty members to utilize the procedures available to them to become more involved in all aspects of the planning process.

NURSING. Mariah Snyder reporting.

There are two elected planning/consulting bodies: the Long Range Planning Committee and the Consultative Committee. Both meet once or twice a month and their agenda and minutes are posted. There was a faculty retreat and there were additional meetings to discuss the long-range plan and priorities. Consulting occurs, but faculty have often felt their input on budget was minimal because of the budget's complexity and the required "immediacy" of the action. It is seen as a good system, yet the faculty need to assert their constitutional role.

PHARMACY. Rodney Johnson reporting.

Change is needed. The report was based on Professor Johnson's questionnaire to the faculty plus their responses to his first draft:

- The Pharmacy College Planning Council has been largely invisible since the establishment of the Pharm. D. program; the faculty are unaware of any current activities on its part.
- No faculty are aware that the Planning Council had any role in establishing the program priorities during the 1981 cycle.
- Most faculty have not participated in any planning/consultation and are unaware of what level of consultation has occurred. Some assistant deans and directors of graduate study have met with the dean. There was a faculty/staff meeting fall quarter at which information was given on the financial problems of the college and suggested solutions were requested. No discussion of the feasibility or ramifications of the suggestions was undertaken.

Mechanisms must be developed by the college administration to provide means whereby the college faculty have significant input into the planning/consultation process.

n.b. Dean Weaver announced in January that he was establishing a "College Consultative Task Force broadly representative of faculty and staff."

PUBLIC HEALTH. Robert Veninga reporting.

The 1979 report remains accurate and indeed describes recent program priorities consultation. (The school has a 26-member Planning Council, which meets approximately twice monthly, composed of administrators, directors, committee chairs, additional faculty and the student body president.) Professor Veninga sees no need for change in the practices, and thinks the administration works to insure the input of the faculty and program directors.

INSTITUTE OF TECHNOLOGY. John Wertz reporting.

(The report was based on interviews with the dean, associate dean, and the chair of the IT Consultative and Appeals Committee.)

The principal planning group is the Administrative Council, made up of the department heads. The dean interprets the Consultative and Appeals Committee's area of concern more narrowly than does the committee. The committee last fall was consulted on and made recommendations on the 2.16% retrenchment. The committee has been concerned about lack of involvement in recent priorities planning. Planning documents were distributed to the IT Advisory Council (composed of about 35 corporate executives, and substantial contributors to IT) before they were distributed -- following a special request -- to the committee.

The dean has held the following consultations:

- a meeting with each IT department faculty in December of 1980, and subsequently with all department heads;
- a management meeting with IT department heads in September 1981;
- a meeting with department heads and associate heads in December 1981;
- solicitation of inputs from department heads on monies needed to operate at various levels of expenditure (October 1981);
- participation in the evaluation of each faculty member on the basis of faculty reports on research, teaching and service;
- distribution of a preliminary list of needs and priorities for faculty reaction (and dean plans to send out, for faculty reaction by letter, a second version of a plan which "is workable and which can be funded");
- a retreat for the Advisory Council.

CROOKSTON. Richard Christenson reporting.

There is satisfaction with the working consulting procedures. The process is too slow, however, for critical situations. In developing program priorities, the vice provost for academic affairs consulted with the Faculty Consultative Committee and the Academic Administrative Committee.

DULUTH, SCHOOL OF MEDICINE. John Leppi reporting.

Satisfaction with participation has been high under the acting dean. The faculty hope for continuation of the same under the new dean.

The main planning group, consisting of department heads, had 8 or 9 meetings between August 1980 and December 1981. Previously, it met monthly. The Faculty Advisory Committee meets infrequently, but "has carried out its responsibilities effectively". The Biennial Request planning carried out under the acting dean involved much more consultation with and feedback to department heads than under any previous dean of the unit.

MORRIS. Laird Barber reporting.

Professor Barber consulted with the chair of the Morris Campus Planning Committee and with a member of the Campus Consultative Committee. He reports satisfaction with the existing process.

The Planning Committee has regular meetings and consultation. It was consulted at two stages of the program priorities development. Two additional consulting processes have been active this year regarding the fiscal crisis:

- 1) the Faculty Subcommittee of the Campus Consultative Committee met 7 or 8 times during the fall with the provost and/or the academic dean, and met in addition among themselves;
- 2) the four division chairs have been consulted and in humanities, at least, the department coordinators saw the response sent to Vice President Keller and were invited to consult with their faculties and develop their response to it.

The correct and official Morris Campus Priority Statement submitted to the regents imparts what the UMM faculty and administration agreed upon after lengthy consultation.

MAR 1 1982



UNIVERSITY OF MINNESOTA
TWIN CITIES

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February 24, 1982

To: Ken Keller, Vice-President for Academic Affairs
Douglas Pratt, Chair, Senate Consultative Committee

From: Virginia Gray, co-chair, ^{VJH} Committee on Committees

Re: Status of Committee on Liberal Education

The Committee on Committees has been discussing throughout the year the need for the Committee on Liberal Education. Meetings have been held with members of Liberal Education and Senate Committee on Educational Policy, and several memos about CLE's activities have been examined. Further, the C on C has reviewed the original purpose of CLE and the needs of liberal education today. It is the consensus of the C on C that CLE is no longer the best mechanism for furthering the cause of liberal education and that its functions should be reassigned to various other units as described below.

We believe that CLE was extremely important in furthering the aims of liberal education when established in 1963. However, times have changed, and SCEP could now provide that attention to undergraduate education. Further, SCEP is representative of all parts of the university; we do not feel that the special representational structure of CLE is needed any longer. SCEP can also provide the necessary links to the Academic VP, the office which has the broadest mandate in educational policy. We outline below a division of labor which we believe rationalizes the governing structure and furthers the goal of preserving liberal arts for undergraduates in a large university.

Our basic organizational principle is that the policy-making functions should be centralized in SCEP and the administrative functions should be handled by the VP's office. We think that the present structure of CLE blurs these functions and attempts to do by committee what must be done by a single administrator. The activities which have been carried out by CLE include: policy-making; monitoring; administering the teaching awards; administering the Small Grants program. We suggest that the first activity, that of policy-making, be handled by SCEP. Certainly, if SCEP desires, it could establish a subcommittee on undergraduate education reporting to the full committee. The second activity, that of monitoring the liberal arts floors, should return to the office of the VP. This is essentially a technical function best done by one person designated by the VP. Any issues which come up in the monitoring would be referred to SCEP for action.

The third activity, the awarding of prizes for contributions to undergraduate education, should occur in the VP's office. He might appoint an ad hoc committee each year for the purpose of selection or he might appoint a committee of past winners of the award. Once again, SCEP would set up the criteria for the awards, and the VP's office would handle the actual administration of the awards. The fourth activity, that of the Small Grants process, should be directed by SCEP at the policy level. The C on C suggests that SCEP consider merging the EDP and Small Grants programs and merging the collegiate and all-University rounds of the granting process. The amount of faculty time spent in reviewing grant proposals seems excessive, given the reduction in the overall amount of educational development funds. Once the granting process is made more straightforward, again the VP could establish, at his discretion, a mechanism for awarding the funds.

The C on C proposes the above division of labor between SCEP and the Academic VP and the abolition of CLE. We believe that this assignment of functions preserves many of the significant achievements of CLE and is sensitive to the arguments put forth by its members in support of the liberal arts mission. At the same time, the C on C believes that a more straightforward and streamlined committee structure allows these vital functions to be performed more effectively. We would like to meet with you to talk further about our proposal. We will be in touch to find a convenient time.



UNIVERSITY OF MINNESOTA

THE CIVIL SERVICE COMMITTEE

APR 6 1982

FUT
W. 3/1

March 12, 1982

Mr. David Giese, Chr.
Business and Rules Committee
Twin Cities Campus Assembly
N392 Elliott Hall
Minneapolis Campus

Dear Mr. Giese:

We are pleased to know that your committee is considering our request for civil service representation on additional Assembly committees. In response to your February 5 letter asking for further information on our proposals I would first like to provide some background information and explain the basic rationale behind our requests. Then I will address your specific concerns.

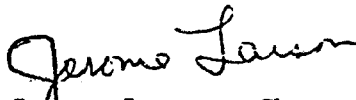
Over a period of years one of the issues the Civil Service Committee has tried to come to grips with has been the status of civil service employees within the University community. This issue has many facets one of which is the opportunity to be involved in the University's governance structure. This issue was discussed in a general sense with President Magrath when the Civil Service Committee met with him a year ago. As follow-up to that discussion we met with the Senate Consultative Committee on April 30, 1981. We then proceeded to make specific requests (this was the procedure recommended by the SCC) for additional representation on Assembly and Senate committees in our August, 1981 letters to the appropriate Committees on Committees. In arriving at our recommendations we looked at the responsibilities of all of the Senate and Assembly committees as listed in the bylaws and rules of the respective organizations. We have requested membership on those committees which we perceive to have significant impact on programs, policies and processes which affect either civil service employees as a whole or readily identifiable subsets of civil service employees. We recognize the primacy of the academic concerns and goals in the University, but we also believe strongly that the civil service staff contributes significantly to the support of those concerns and the attainment of those goals. These contributions should be recognized and further contributions would be encouraged by expanding the opportunity for civil service involvement in the University's governance structures.

To respond to your specific requests:

1. Intercollegiate Athletics - Responsibilities include such things as "to promote high standards in athletic affairs", "to advise the central administration and the Directors of intercollegiate athletics in all major decisions affecting personnel, budget, and facilities...", "to formulate and supervise the implementation of policies concerning the pricing and distribution of tickets...", etc.,. A substantial number of civil service employees are interested in, supportive of, or otherwise involved with intercollegiate athletics and there should be at least one civil service representative with a vote on this committee. Membership apportionment should be adjusted to preserve the required faculty majority.
2. Recreational Sports - There is widespread interest in and use of recreational sports facilities and services by civil service employees and thus we are recommending that there be 3 civil service members on that committee. It does not appear that a balance between the number of faculty members and others should be an overriding concern on this committee. A distributed membership (such as what exists on the Parking and Transportation Committee) should work quite well.
3. Calendar - All civil service employees are affected by the campus calendar and have a particular concern for the distribution of floating holidays. In recent years a member of the Civil Service Committee has participated in Calendar Committee meetings and we believe that this unofficial representation should be formalized by providing the Civil Service Committee with an ex officio, with vote, position on the Calendar Committee.

I trust that this letter has provided an adequate response to your request for further information. If additional concerns arise please contact me. Thank you for your attention to our proposals.

Sincerely,



Jerome Larson, Chr.

xc: Mary Corcoran, Virginia Gray, Co-Chrs., Committee on Committees
Nils Hasselmo, V.P. for Admin., & Plng.
Civil Service Committee

JOL/bjl



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of Political Science
1414 Social Sciences
267 19th Avenue South
Minneapolis, Minnesota 55455
(612) 373-2651

MAR 2 1982

February 26, 1982

To: David Giese, Chair, Business & Rules Committee
Douglas Pratt, Chair, Senate Consultative Committee

From: Virginia Gray, ^{VJH}co-chair, Committee on Committees

Re: Civil Service Representation on Senate & Assembly Committees

The Committee on Committees has been discussing the request of the Civil Service Committee that civil servants be represented on selected Senate and Assembly committees. Though the Civil Service Committee requested only partial representation on some committees, the consensus of the Committee on Committees is that representation should not be granted on an ad hoc basis. Rather agreement should be reached on a set of representational principles of both civil servants. Once agreement is reached upon the principles involved, then the appropriate committees and number of representatives can be easily derived. The C. on C. did not decide upon the principle to be followed but rather offers the following set of possible principles of discussion by other concerned parties. Also we are asking the Civil Service Committee to supply the principles behind its request.

Possible principles of representation include the following:

- (1) Senate and Assembly committees are supposed to represent the university. Civil servants are as much a part of the university as are faculty and students. Therefore, civil servants should be allowed to serve on all committees, in a ratio appropriate to their numbers in the total university population.
- (2) The above principle is superceded by the legal and practical realities of collective bargaining. Therefore, civil servants whose units are represented by bargaining units cannot serve on Senate committees, just as faculty from the organized parts of the university (e.g. Duluth) are precluded from committee service.
- (3) Civil servants do not have right to serve on all Senate committees but they do have a provisional right to serve on certain committees. The justification might be as follows:
 - (a) civil servants have a right to serve on committees whose policies affect them directly, i.e., which regulate their lives in important and unescapable ways. The parking and the health service committees would be examples. This logic might even be extended to those committees which are the only way to voice concerns of civil servants, e.g., Social Concerns.

(b) civil servants have a right to serve on committees where they have a particular expertise or competence, e.g., those involved in animal care on the Animal Care Committee or those involved in research on Use of Human Subjects in Research.

(4) Civil servants may serve on operational committees such as parking but not on policy-making committees such as Educational Policy. This distinction reflects the roles of the civil service and the faculty in the broader university setting.

(5) Civil servants should not serve on any Senate or Assembly committees at all. The Senate should be a faculty and student governance structure.

The Committee on Committees would appreciate your comments on the desirability of any of these principles or your identification of additional principles for our consideration. We are also asking the Civil Service Committee for their rationale as well. Thank you for your help in advance. We will be in touch to get your reaction.

VG:kw



UNIVERSITY OF MINNESOTA
TWIN CITIES

Committee on the Use of Human
Subjects in Research
1919 University Avenue
St. Paul, Minnesota 55104
(612) 373-9895

March 31, 1982

Professor Douglas Pratt
Chairman, Senate Consultative Committee
Department of Botany
220 Biological Sciences
St. Paul Campus

Dear Professor Pratt:

I am enclosing proposed revisions in the Policies and Procedures for the Protection of Human Subjects in Research as approved by the Board of Regents, such revisions having been undertaken in the light of revised regulations promulgated by the Department of Health and Human Services (DHHS) and printed in the Federal Register of January 26, 1981, to be effective July 27, 1981.

Two subcommittees have worked on these changes and two meetings of the entire Committee have been called to discuss the proposed changes. At neither meeting was a quorum present. A mail ballot was sent out on February 24; results were tallied on March 16.

The central issue of the voting was the method the Committee wished to adopt to deal with categories which DHHS has placed in an exempt-from-review status (see attached, Appendix A). The three choices presented to Committee members were (as labeled on the ballot):

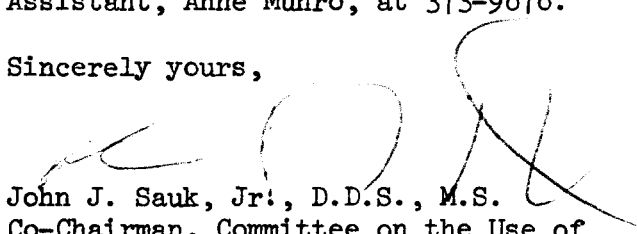
- A-1: "Exempt from prior review"--research using exempt procedures initiated without notification of the Human Subjects Committee or staff
- A-2: "Exempt from prior review"--research using exempt procedures initiated after notification of the Human Subjects Committee or staff
- B: "Screened for exempt status"--research using exempt procedures initiated after notification of the Human Subjects Committee or staff and receipt of confirmation that the procedures fall within exempt categories.

Of the 28 members voting (less than half the membership), three voted for A-1 nine for A-2 and sixteen for B, which is the alternative included in the revision being submitted to you. The main changes in the document are those necessary to reflect the change made in the categories of research proposals and the methods of reviewing them. Minor changes are made in gender of pronouns, the title of the executive secretary, and grammar.

March 31, 1982

The proposed changes are submitted for the appraisal and approval of your Committee. I trust that the form is satisfactory. If you have any questions, please do not hesitate to call me (373-5006) or members of the subcommittee (listed below), or the Administrative Assistant, Anne Munro, at 373-9878.

Sincerely yours,



John J. Sauk, Jr., D.D.S., M.S.
Co-Chairman, Committee on the Use of
Human Subjects in Research

JJS:am

cc: Members of Senate Consultative Committee
Professor Anthony Zahareas, Chairman,
Senate Research Committee
Members of Senate Research Committee

Subcommittee Members: Professor Paul D. Reynolds, Chairman
Sociology
3-3268

Dr. Ralph Katz
Dentistry/Health Ecology
6-4286

Professor Robert Gibson
Behavioral & Social Sciences, Duluth
TC number: 6-4030

Professor William Hanson
Philosophy
3-3612

Professor Jacqueline Shick
Physical Education
3-3210

Professor Richard Sykes (ex officio)(no longer on Committee)
Speech Communication
6-8737

THE BOARD OF REGENTS' POLICY ON STANDARDS
AND PROCEDURES RELATED TO THE USE OF HUMAN
SUBJECTS IN RESEARCH

Approved June 8, 1973
Revision Approved July 12, 1974
Amended April 9, 1976
Amended September 8, 1978

REVISED

- I. STATEMENT OF POLICY OF THE UNIVERSITY OF MINNESOTA WITH REGARD TO THE USE OF HUMAN SUBJECTS IN SCIENTIFIC RESEARCH
- II. PRINCIPLES GOVERNING THE USE OF HUMAN SUBJECTS IN RESEARCH AND SUMMARY OF PROCEDURE
- III. PROCEDURE FOR IMPLEMENTATION OF POLICY
 - A. SCOPE OF ACTIVITIES TO BE COVERED BY PROCEDURE
 - B. IMPORTANT ELEMENTS OF THE PROCEDURE
 1. ADMINISTRATIVE STRUCTURE, COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH
 2. PANELS AND SUBCOMMITTEES
 3. ~~EXECUTIVE-SECRETARY~~ ADMINISTRATIVE ASSISTANT TO THE COMMITTEE
 - C. ACTIVITIES WITHIN THE PROPOSED STRUCTURE
 1. RESEARCH PROTOCOL
 2. CONDUCT OF RESEARCH THAT FALLS WITHIN THE SCOPE OF AN APPROVED RESEARCH PROTOCOL OR AN EXPEDITED OR SCREENED FOR EXEMPT STATUS PROCEDURE
 3. INDIVIDUAL PRIOR REVIEW OF ~~NON-PROTOCOL~~ RESEARCH
 4. APPLICATION FOR REVIEW AND APPROVAL OF ~~NON-PROTOCOL~~ RESEARCH
 5. APPEALS OF SUBCOMMITTEE OR PANEL DECISIONS
 6. COMPLAINTS AGAINST INVESTIGATORS

PART I

STATEMENT OF POLICY OF THE UNIVERSITY OF MINNESOTA
WITH REGARD TO THE USE OF HUMAN SUBJECTS
IN SCIENTIFIC RESEARCH

The present statement of policy was approved July 12, 1974, amended April 9, 1976, and amended September 8, 1978, by the University of Minnesota Board of Regents. The original statement of policy was adopted in November, 1966, and a revision of it approved in November, 1972.

The University of Minnesota reaffirms its established policy with regard to the use of human subjects in scientific research:*

1. To safeguard and respect fully the rights and welfare of the individuals ~~who are~~ involved as human subjects in such research
2. To accomplish this with as little obstruction as necessary to the furtherance of scientific progress through continuing investigation ~~of man in his environment~~ human beings in their environment
3. To assume an institutional responsibility for the implementation of these two objectives.

In performance of this institutional responsibility, the University of Minnesota will:

1. Provide for collegial review prior to initiation of all research involving human subjects (see Part III for a definition of these

* Human subjects include a living human conceptus. There shall be no "use of a living human conceptus for any type of scientific, laboratory research or other experimentation except to protect the life or health of the conceptus" and except in a situation where the proposed research or experimentation has been shown, by "verifiable scientific evidence, to be harmless to the conceptus." "Living" as used in this paragraph means "the presence of life, such as movement, heart or respiratory activity, the presence of electroencephalographic or electrocardiographic activity." (Minn. Stat. 145.421, Subd. 3 and Minn. Stat. 145.422, Subd. 1 and 2)

terms) carried on in the University or under its auspices through a University Committee on the Use of Human Subjects in Research composed of institutional associates of the investigator who are independent of the investigator and who have no vested interest in the specific project of research. Collegial review will involve determination of:

- A. The rights and welfare of the individuals involved as human subjects of research
 - B. The appropriateness of the methods used to secure an adequately informed consent for research involving human subjects
 - C. The risks of the research, excluding the effects of applying knowledge gained in the research
 - D. The potential benefits of the research.
2. Exercise continuing supervision of such research involving human subjects, to deal with changes in the procedures or emergent problems of the research which may alter the research with respect to the criteria for collegial review and prior approval
 3. Provide guidance and advice for the investigators on safeguarding the rights and welfare of the human beings involved in such research
 4. Assure that provision is made for professional attention and facilities to provide for the safety and welfare of human beings involved in such research
 5. Make and keep written records of all collegial reviews and decisions on the use of human subjects in such research, and require and keep documentary evidence of informed consent by human subjects of research where required.

PART II

PRINCIPLES GOVERNING THE USE OF HUMAN SUBJECTS IN RESEARCH AND SUMMARY OF PROCEDURES

All Subjects of research must have given are expected to have given informed consent to their participation in any research project. All exceptions to the requirement of informed consent for projects or procedures must be approved by the Regents or an appropriate review committee.*

It is expected that investigators will design research procedures in such a way that they satisfy the following principles:

PRINCIPLE 1.

Research procedures shall not involve the exposure of subjects to a physical or psychological or social risk that is appreciably greater than we normally take in the conduct of our affairs.

PRINCIPLE 2.

Research procedures shall not involve the disclosure of confidential information to other than the investigator(s) and research staff. Procedures involving these proscribed features may be used only if appropriate precautions are taken. The precautions to be taken must be approved for a specific research project by an appropriate review Committee.

All research involving human subjects shall be classified into three categories and given different forms of review based upon the research procedures involved.

A. CATEGORIES OF RESEARCH

For purposes of review, research projects will be divided into two categories+

* The concept of "research" and "human subject" is explicated in Part III of the procedure under Section A, "Scope of activities to be covered by procedure." "Risks of daily life" are considered to be those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.

1. Screened for Exempt Status:

Procedures previously approved by the Regents as those for which the risks to participants are less than or equivalent to those encountered in daily life and for which informed consent and prior review are not therefore required, or procedures for which prior review may infringe upon the rights of the investigator. (Procedures proposed for this category are listed in Appendix A.)

2. Research Protocol/Expedited Review:

Those projects with research designs or types frequently used, and that either satisfy Principles 1 and 2 or embody precautions sufficient to justify general and continuing approval (Procedures proposed for this category are listed in Appendix B.), and

3. Full Review:

All other research projects not included within the previous two categories.

- ~~2. Those projects which involve the use of other than standard and accepted research designs and procedures, or which do not satisfy the requirements of Principles 1 and 2 and do not embody precautions which have received general and continuous approval by the University Committee on the Use of Human Subjects in Research as satisfying the purposes of Principles 1 and 2.~~

B. APPROVAL OF SPECIAL CATEGORIES NOT REQUIRING FULL REVIEW

~~In addition, a large number of activities involve human subjects as no risk appreciably greater than that encountered in daily life. It is expected that for projects of this type, the Committee on the Use of Human Subjects in Research will develop a series of methodological protocols that specify situations involving little or no risk to human subjects. Once these protocols are approved by the Committee, they~~

~~will be distributed to all departments and divisions at the University of Minnesota and each department and division has the option of submitting under these protocols. Individual projects that fall within the scope of a methodological protocol will not require independent review by a review panel. Investigators will file a description of the project with the Executive Secretary to the Committee on the Use of Human Subjects in Research for final administrative approval.~~

1. The Regents of the University of Minnesota may modify the Screened for Exempt Status list at any time. The University-wide Committee is expected to make recommendations to the Regents; the Administrative Assistant is expected to bring changes in the Department of Health and Human Services list of exempt categories of research to the attention of the University-wide Committee. (The first such list is presented in Appendix A.)

2. Research Protocol/Expedited Review projects shall be those that include projects with risks equivalent to those in daily life and for which there is substantial experience, thereby justifying less than complete Committee review. These shall be specified on a "Research Protocol/Expedited Procedures List" that can be modified by the decision of the University-wide Committee. (A preliminary list of such procedures is attached to this section as Appendix B.)

There are two sources of procedures for this list. First, the Department of Health and Human Services expedited list. It will be the responsibility of the Administrative Assistant to keep the Committee informed of changes in this list.

~~It is expected that for projects of the first type, Second,~~
interested investigators or departments are encouraged to develop

~~a series of departmental summary protocols covering~~ descriptions of specific research designs for research activities which involve methods, procedures, and/or techniques unique to ~~that~~ a department or research program. Once these research program protocols are approved by an appropriate ethical review panel, individual projects that fall within the scope of a research program protocol will not require independent review by a review panel. As specified below, they may be approved following an expedited review by the Committee Chair or an experienced Committee member; a review panel decision is required for disapproval. ~~Investigators will file a description of the project with the designated departmental reviewer who will forward the material to the Executive Secretary to the Committee on the Use of Human Subjects in Research for final administrative approval.~~

C. IMPLEMENTATION OF REVIEW

1. Projects screened for exempt status may be initiated after informing the University Committee on the Use of Human Subjects in Research of the intent to engage in research and receipt of notification that the procedure falls within an exempt from prior review category.
2. Projects that use procedures on the research protocol/expedited procedures list (singly or in combination with each other or with those on the screened for exempt status list) or modifications in projects previously approved by the Committee may be approved by a decision of a subcommittee chair or any experienced Committee member (at least one year of experience on the Committee) designated by the subcommittee chair. Disapproval of such projects requires a subcommittee decision.
3. Projects that do not fall within the scope of screened for exempt procedures or a research protocol/expedited review procedure

must be submitted to a review committee for individual prior review and approval before the research is initiated. Such projects will be evaluated with regard to the rights and welfare of subjects at risk in the research. If the research procedure does not satisfy Principles 1 and 2, the risks must be weighed against the scientific importance and potential benefits of the research. In such a case the overriding importance of a piece of research may justify exceptions to the normal restrictions.

An investigator may in any case request that ~~his~~ a project receive individual prior review. Thus all projects and activities for which individual prior review is required by funding agencies will be subject to such review. Where standards and criteria more stringent than those specified in Principles 1 and 2 are prescribed by a funding agency, the reviewing committee will, to satisfy requirements of the funding agency, use the standards and criteria so prescribed in evaluating the research or activities in question.

PART III

PROCEDURE FOR IMPLEMENTATION OF POLICY

A. SCOPE OF ACTIVITIES TO BE COVERED BY PROCEDURE

1. Research Activities Considered to Involve Human Subjects

The phrases "research involving human subjects" and "procedures involving human subjects" as used in this "Statement of Policy with Regard to the Use of Human Subjects in Scientific Research" are intended to cover the full range of activities which involve:

A. THE COLLECTION OF DATA FROM:

- 1) THE EXAMINATION OF INDIVIDUAL HUMAN BEINGS AND THEIR BODILY PRODUCTS
- 2) THE OBSERVATION OF THE PERFORMANCE OF ACTIVITIES BY INDIVIDUAL HUMAN BEINGS OR GROUPS OF HUMAN BEINGS
- 3) THE OBSERVATION OF PHYSICAL OR PSYCHOLOGICAL REACTION OF INDIVIDUAL HUMAN BEINGS OR GROUPS OF HUMAN BEINGS TO STIMULI, WHETHER THE STIMULI ARE CONTROLLED BY THE INVESTIGATOR OR ARE PRESENT IN A NORMAL NON-MANIPULATED ENVIRONMENT.
- 4) THE OBSERVATION OR EVALUATION OF THE PRODUCTS OF INDIVIDUAL PERFORMANCE OF TASKS OR INDIVIDUAL REACTION TO STIMULI OR OTHER SIMILAR RESEARCH IN WHICH HUMAN BEINGS OTHER THAN THE INVESTIGATORS OR RESEARCH PERSONNEL ARE DIRECTLY INVOLVED AS PARTICIPANTS THROUGH THEIR ACTIVE CONDUCT OR THROUGH PASSIVELY HAVING PROCEDURES PERFORMED UPON THEM.

B. THE EXAMINATION AND CORRELATION OR EVALUATION OF DATA DERIVED FROM THE TYPES OF EXAMINATION OR OBSERVATION DESCRIBED IN A.1) THROUGH 4) ABOVE, OR RESEARCH IN WHICH DATA CONCERNING HUMANS OTHER THAN THE INVESTIGATOR ARE THE DIRECT SUBJECT OF RESEARCH.

2. OTHER ACTIVITIES INVOLVING HUMANS COVERED BY THE POLICY

"RESEARCH INVOLVING HUMAN SUBJECTS" AND THE CORRELATIVE PHRASES "PROCEDURES..." AND "RESEARCH PROJECTS..." ARE NOT LIMITED TO THE DELIBERATE EXPERIMENTATION WITH HUMAN BEINGS, ALTHOUGH THESE PHRASES COVER DELIBERATE EXPERIMENTAL RESEARCH UPON HUMANS. THEY INCLUDE, AS WELL, THE PERFORMANCE OF ANY PROCEDURES WHICH ARE NOT DESIGNED AND PERFORMED PRIMARILY FOR THE BENEFIT OF THE HUMAN UPON WHOM THE PROCEDURE IS PERFORMED OR IN RELATION TO WHOM THE PROCEDURE IS PERFORMED BUT WITH EITHER A PRIMARY OR SECONDARY PURPOSE OR OBJECTIVE OF COLLECTING DATA FOR SUBSEQUENT CORRELATION OR EVALUATION NOT DIRECTLY RELATED TO THE TREATMENT OR CARE OF HUMAN SUBJECTS OR THE PERFORMANCE OF BENEFICIAL SERVICE TO THE HUMAN SUBJECT. PROCEDURES WHICH FALL WITHIN THE SCOPE OF "RESEARCH INVOLVING HUMAN SUBJECTS" INCLUDE NOT ONLY PHYSICAL, CHEMICAL, ELECTRICAL OR PSYCHOLOGICAL STIMULATION OF RESPONSES WITHIN THE HUMAN BODY BUT ALSO INTERVIEWING, OBSERVATION OF BEHAVIOR, ADMINISTRATION OF TESTS OR OTHER TECHNIQUES OF MEASUREMENT OR EVALUATION OF INDIVIDUAL HUMANS.

3. BENEFICIAL SERVICES DISTINGUISHED FROM RESEARCH INVOLVING HUMAN SUBJECTS

"RESEARCH INVOLVING HUMAN SUBJECTS" OR "PROCEDURES INVOLVING HUMAN SUBJECTS" AS USED IN THIS STATEMENT OF POLICY ARE DISTINGUISHED FROM ACTIVITIES OR PROCEDURES IN WHICH HUMANS ARE INVOLVED SOLELY FOR THE DIRECT BENEFIT OF THEMSELVES OR OTHER INDIVIDUAL HUMANS. THE LATTER TYPE OF ACTIVITIES AND PROCEDURES, WHICH MIGHT BE CLASSIFIED AS "BENEFICIAL SERVICES" INCLUDES:

- A. THE TEACHING OR TRAINING OF INDIVIDUALS,
- B. THE EXAMINATION, INVESTIGATION OR EVALUATION OF INDIVIDUALS FOR DIAGNOSTIC PURPOSES FOR THEIR OWN BENEFIT OR THE IMMEDIATE BENEFIT OF OTHERS AS IN MASS SCREENING FOR DISEASE OR PHYSICAL EXAMINATION OF STAFF AND STUDENTS ASSOCIATED IN THE UNIVERSITY OR OTHER SIMILAR INSTITUTIONS OR ORGANIZATIONS,

- C. THE PERFORMANCE OF THERAPEUTIC PROCEDURES FOR THE DIRECT BENEFIT OF THE PERSON UPON WHOM THEY ARE PERFORMED OR FOR THE DIRECT BENEFIT OF OTHER INDIVIDUALS TO WHOM THE HUMAN PARTICIPANT HAS SOME RELATION OR TO WHOM THE HUMAN PARTICIPANT HAS AGREED TO ACT AS A DONOR, AS IN THE CASE OF THE DONATION OF BLOOD OR OTHER TISSUES OR INTERVIEWING RELATIVE TO PSYCHOTHERAPY OR COUNSELING SERVICES OR TO COUNSELING SERVICES TO OTHERS, AND
- D. THE INTERVIEWING OR INVESTIGATION OF INDIVIDUALS RELATED TO THE PERFORMANCE OF PROFESSIONAL SERVICES IN THE PRACTICE OF COUNSELING, LAW, PSYCHOTHERAPY, SOCIAL WORK OR TEACHING.
4. CLINICAL TRAINING DISTINGUISHED FROM RESEARCH INVOLVING HUMAN SUBJECTS
- "RESEARCH INVOLVING HUMAN SUBJECTS" AND "PROCEDURES INVOLVING HUMAN SUBJECTS" AS USED IN THE STATEMENT OF POLICY DO NOT INCLUDE CLINICAL TRAINING DONE WITHIN THE UNIVERSITY OR UNDER ITS AUSPICES, PROVIDING THAT THE PROCEDURES AND ACTIVITIES ARE PERFORMED SOLELY FOR THE PURPOSES OF TRAINING OR FOR THE COMBINED PURPOSES OF TRAINING AND PROVIDING BENEFICIAL SERVICES TO THE INDIVIDUAL UPON WHOM THE PROCEDURES ARE PERFORMED OR IN RELATION TO WHOM THE PROCEDURES ARE PERFORMED. "CLINICAL TRAINING" COVERS THOSE PROCEDURES AND ACTIVITIES USED PRIMARILY TO TEACH STUDENTS HOW TO ENGAGE IN PROFESSIONAL OR SEMI-PROFESSIONAL ACTIVITIES WITH OTHER HUMAN BEINGS THAN THE TEACHER OR STUDENT INVOLVED IN THE PROCEDURES. ON THE OTHER HAND, TRAINING FOR CONDUCT OF RESEARCH INVOLVING HUMAN SUBJECTS IS WITHIN THE MEANING AND SCOPE OF THIS POLICY SO LONG AS HUMANS ARE USED AS SUBJECTS FOR RESEARCH ITSELF.
5. COLLECTION OF DATA FOR BENEFICIAL SERVICES DISTINGUISHED FROM RESEARCH INVOLVING SUBJECTS USING SUCH DATA
- IN A NUMBER OF SITUATIONS WITHIN THE UNIVERSITY OR WHERE PROCEDURES ARE PERFORMED UNDER THE AUSPICES OF THE UNIVERSITY, DIAGNOSTIC OR THERAPEUTIC PROCEDURES OF BENEFIT TO THE INDIVIDUAL UPON WHOM THEY ARE PERFORMED OR CONDUCTED IN THE PROVISION OF PROFESSIONAL SERVICES MAY BE UNDERTAKEN WITH THE FOREKNOWLEDGE THAT THE RECORD OF SUCH PROCEDURES OR SERVICES OR THE PRODUCTS OF SUCH PROCEDURES OR SERVICES WILL ULTIMATELY BE THE SUBJECT OF FUTURE STUDY AND EVALUATION WHICH WOULD CONSTITUTE "RESEARCH INVOLVING HUMAN SUBJECTS" WITHIN THE MEANING GIVEN THAT PHRASE IN THIS POLICY. WHERE THE PROCEDURES OR PERFORMANCE OF SERVICES WOULD BE UNDERTAKEN NORMALLY AND BE THE TYPE OF PROFESSIONAL SERVICE FOR THE DIRECT BENEFIT OF THE INDIVIDUAL SUBJECT TO THE PROCEDURES, RATHER THAN FOR PURPOSE OF OBTAINING INFORMATION FOR ADVANCEMENT OF HUMAN KNOWLEDGE, THE ORIGINAL PERFORMANCE OF SUCH PROCEDURES OR PROFESSIONAL SERVICES WILL NOT CONSTITUTE "RESEARCH INVOLVING HUMAN SUBJECTS" OR "PROCEDURES INVOLVING HUMAN SUBJECTS" AS THOSE TERMS ARE USED IN THIS STATEMENT OF POLICY. HOWEVER, THE SUBSEQUENT USE OF THE RECORDS OR PRODUCTS OR SUCH PROFESSIONAL SERVICES FOR PURPOSES OTHER THAN THE DIRECT BENEFIT OF THE SUBJECT OR SOMEONE RELATED TO HIM OR HER OR FOR OTHER THAN CLINICAL TRAINING AND PRIMARILY FOR THE ADVANCEMENT OF KNOWLEDGE THAT SHALL BE CONSIDERED TO BE "RESEARCH INVOLVING HUMAN SUBJECTS" AND THE PRESENT POLICY AND ANY PROCEDURES DESIGNED FOR ITS FURTHERANCE IN THE SAFEGUARDING OF RIGHTS AND WELFARE OF HUMAN SUBJECTS SHALL BE APPLICABLE TO THIS SUBSEQUENT USE OF RECORD DATA.

6. DEFINITION: CARRIED ON IN THE UNIVERSITY OF MINNESOTA OR UNDER ITS AUSPICES

RESEARCH INVOLVING HUMAN SUBJECTS IS "CARRIED ON IN THE UNIVERSITY OF MINNESOTA OR UNDER ITS AUSPICES" WITHIN THE SCOPE OF THIS POLICY WHEN:

- A. THE PROCEDURES ARE PERFORMED ON THE PREMISES OF THE UNIVERSITY, OR
- B. THE PROCEDURES ARE PERFORMED WITH OR INVOLVE THE USE OF FACILITIES OR EQUIPMENT BELONGING TO THE UNIVERSITY, OR
- C. THE RESEARCH IS FINANCED BY THE UNIVERSITY OR BY FUNDS ADMINISTERED BY THE UNIVERSITY, OR
- D. THE RESEARCH PROJECT SATISFIES A REQUIREMENT IMPOSED BY THE UNIVERSITY AS A CONDITION FOR THE AWARD OF A DEGREE OR FOR COMPLETION OF A COURSE OF STUDY IN THE UNIVERSITY, OR
- E. THE RESEARCH PROJECT SATISFIES AN OBLIGATION OF EMPLOYMENT BY THE UNIVERSITY.

B. IMPORTANT ELEMENTS OF THE PROCEDURE

THERE ARE TWO IMPORTANT ELEMENTS IN THE PROPOSED PROCEDURE--THE COMMITTEE STRUCTURE AND THE SYSTEM FOR PREPARING AND REVIEWING RESEARCH PROTOCOLS. FIRST, THREE TYPES OF COMMITTEES WILL BE DESCRIBED--THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH, THE FOUR REVIEW PANELS, AND THE TWO EXECUTIVE SUBCOMMITTEES. SECOND, THERE WILL BE A DISCUSSION OF PROCEDURE BY WHICH THE RESEARCH PROTOCOLS WILL BE INSTITUTED.

1. ADMINISTRATIVE STRUCTURE: COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH

A. COMPOSITION

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL CONSIST OF AT LEAST SIXTY (60) MEMBERS FROM THE UNIVERSITY COMMUNITY (FACULTY, STAFF AND STUDENT-BODY) AND ONE TO FOUR (1-4)* MEMBERS FROM THE COMMUNITY AT LARGE.

- 1) THE MEMBERS FROM THE UNIVERSITY COMMUNITY SHALL BE DRAWN FROM THE FOLLOWING FOUR CATEGORIES:
 - A) AT LEAST TWENTY (20) MEMBERS FROM THE HEALTH SCIENCES AND BIOLOGICAL SCIENCES, FIFTEEN (15) OF WHOM SHALL BE DRAWN FROM THE FACULTY AND STAFF OF THE UNITS OF THE UNIVERSITY DEALING WITH THE HEALTH AND BIOLOGICAL SCIENCES, AND FIVE (5) OF WHOM SHALL BE UNDERGRADUATE, GRADUATE OR PROFESSIONAL STUDENTS IN THESE UNITS OF THE UNIVERSITY.
 - B) AT LEAST TWENTY (20) MEMBERS FROM THE SOCIAL AND BEHAVIORAL SCIENCES, FIFTEEN (15) OF WHOM SHALL BE DRAWN FROM THE FACULTY AND STAFF OF THE UNITS OF THE UNIVERSITY DEALING WITH THE SOCIAL AND BEHAVIORAL SCIENCES, AND FIVE (5) OF WHOM SHALL BE UNDERGRADUATE, GRADUATE OR PROFESSIONAL STUDENTS IN THESE UNITS OF THE UNIVERSITY.
 - C) TWO (2) MEMBERS FROM THE UNIVERSITY HOSPITALS ADMINISTRATION.

*THE MINIMUM NUMBER OF ONE WILL MEET THE POLICY SET FORTH BY DHEW. THE FIGURE OF FOUR WILL PROVIDE AN OPPORTUNITY TO ASSIGN ONE COMMUNITY MEMBER TO EACH PANEL AND THEREBY ASSURES BROADER COMMUNITY REPRESENTATION.

- D) AT LEAST EIGHTEEN (18) MEMBERS FROM OTHER UNITS OF THE UNIVERSITY, THIRTEEN (13) OF WHOM SHALL BE FACULTY MEMBERS, AND FIVE (5) OF WHOM SHALL BE STUDENTS.

IN THE EVENT THAT THE SIZE OF THE COMMITTEE SHOULD BE EXPANDED TO MORE THAN SIXTY (60) MEMBERS, THE PROPORTIONS OF MEMBERS FROM EACH OF THE ABOVE CATEGORIES WOULD REMAIN THE SAME.

- 2) THE MEMBERS FROM THE COMMUNITY AT LARGE MUST BE REPRESENTATIVE OF THE COMMUNITY AND MUST HAVE DEMONSTRATED EXPERIENCE AND/OR INTEREST IN ETHICAL ISSUES.

FIGURE 1

MEMBERSHIP STRUCTURE OF THE COMMITTEE ON
THE USE OF HUMAN SUBJECTS IN RESEARCH

MEMBERS FROM BIOLOGICAL AND HEALTH SCIENCES	MEMBERS FROM THE SOCIAL AND BEHAVIORAL SCIENCES	MEMBERS <u>NOT</u> FROM BIOLOGICAL, HEALTH, SOCIAL OR BEHAVIORAL SCIENCES	MEMBERS FROM UNIVERSITY HOSPITALS ADMINISTRATION	MEMBERS FROM THE COMMUNITY AT LARGE	
					<u>TOTAL</u>
<u>FACULTY</u>					
15	15	13	2	--	45
<u>STUDENTS</u>					
5	5	5	0	--	15
<u>COMMUNITY</u>					
--	--	--	--	4*	4
<u>TOTAL</u> 20	20	18	2	4	SUM TOTAL 64

* THIS NUMBER MAY VARY FROM 1-4.

B. SELECTION OF MEMBERS

1) UNIVERSITY COMMUNITY

THE MEMBERS OF THE COMMITTEE FROM THE BIOLOGICAL AND HEALTH SCIENCES AND FROM THE SOCIAL AND BEHAVIORAL SCIENCES SHALL BE DRAWN FROM UNITS IN WHICH A PRIMARY FOCUS OF PROFESSIONAL ACTIVITY IS THE CONDUCT OF RESEARCH WITH HUMAN SUBJECTS IN THESE AREAS, AS WELL AS FROM UNITS HAVING PERSONS QUALIFIED TO HELP CLARIFY ETHICAL, MORAL, AND LEGAL ISSUES AND UNITS HAVING PERSONS QUALIFIED TO DISCUSS MATTERS OF THE COMMON GOOD. SUCH MEMBERS SHALL BE CHOSEN BY THE PRESIDENT (OR A VICE PRESIDENT DESIGNATED BY HIM).

A) TERMS

THE TERMS OF MEMBERSHIP OF THIS COMMITTEE SHALL BE IN ACCORDANCE WITH THE RULES AND OPERATIONAL PROCEDURES OF THE UNIVERSITY SENATE, U1.302.3.

B) OFFICIAL POSITIONS OF THE COMMITTEE

THE CHAIRMAN OF THE HEALTH AND BIOLOGICAL SCIENCES REVIEW PANEL AND THE CHAIRMAN OF THE SOCIAL AND BEHAVIORAL SCIENCE PANEL SERVE AS CO-CHAIRMEN OF THE FULL COMMITTEE. THEY ARE ELECTED BY THE APPOINTED MEMBERS OF THE RELEVANT REVIEW PANELS BY A MAIL BALLOT, MAJORITY VOTE, FOR A PERIOD OF TWO YEARS.

C) MEETING PROCEDURE

ALL MEETINGS SHALL BE HELD IN ACCORDANCE WITH ROBERT'S RULES OF ORDER.

2) COMMUNITY AT LARGE

THE MEMBERS FROM THE COMMUNITY AT LARGE WILL BE SELECTED BY AN AD HOC SUBCOMMITTEE COMPOSED OF MEMBERS OF THE UNIVERSITY COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH. THE MEMBERS OF THIS AD HOC COMMITTEE WILL BE APPOINTED BY THE CHAIRMEN OF THE UNIVERSITY COMMITTEE.

A) TERMS

THE AD HOC COMMITTEE MAY ELECT TO IDENTIFY TWO ADDITIONAL COMMUNITY MEMBERS TO SERVE AS ALTERNATES. ONE ALTERNATE WOULD BE ASSIGNED TO THE HEALTH SCIENCES SUBCOMMITTEE AND ONE TO THE SOCIAL SCIENCES SUBCOMMITTEE. THESE ALTERNATES WILL ATTEND MEETINGS ONLY WHEN THE APPOINTED COMMUNITY MEMBER MUST BE ABSENT.

EACH COMMUNITY MEMBER WILL BE ASSIGNED TO ONE OF THE FOUR COMMITTEE PANELS. THIS ASSIGNMENT SHALL BE COMPLETED BY THE AD HOC COMMITTEE.

EACH COMMUNITY MEMBER SHALL SERVE ONE YEAR (12 MONTHS) AND SHALL BE ELIGIBLE FOR REAPPOINTMENT.

B) CRITERIA

THE CRITERIA FOR COMMITTEE MEMBERSHIP SHALL BE ESTABLISHED BY THE AD HOC COMMITTEE.

C) CONFIRMATION OF APPOINTMENT

APPOINTMENTS OF COMMUNITY MEMBERS WILL BE CONFIRMED BY A SIMPLE MAJORITY VOTE OF THE FULL UNIVERSITY COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH AND BY APPROVAL OF THE UNIVERSITY ADMINISTRATION.

C. DUTIES AND RESPONSIBILITIES

1) ADMINISTRATION OF POLICY

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL PERFORM THE FUNCTION OF PRIOR COLLEGIAL REVIEW OF PROPOSED RESEARCH INVOLVING HUMAN SUBJECTS AND OF CONTINUING SUPERVISION AND ADVICE WITH RESPECT TO APPROVED PROJECT OF RESEARCH INVOLVING HUMAN SUBJECTS, TO ASSURE THE FULLEST PROTECTION OF THE RIGHTS AND WELFARE OF SUCH SUBJECTS.

2) FORMULATION OF POLICY

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH MAY INITIATE SPECIFIC STATEMENTS OF POLICY AND PROCEDURES NECESSARY TO CARRY OUT THE INSTITUTIONAL RESPONSIBILITY OF THE UNIVERSITY WITH REGARD TO THE USE OF HUMAN SUBJECTS IN RESEARCH, SUBJECT TO REVIEW AND MODIFICATION BY THE UNIVERSITY SENATE WHICH SHALL BE BINDING ON THE SUBCOMMITTEES AND PANELS, MEMBERS OF THE FACULTY AND STAFF OF THE UNIVERSITY AND OTHER INDIVIDUALS ENGAGED IN RESEARCH INVOLVING THE USE OF HUMAN SUBJECTS CARRIED ON UNDER THE AUSPICES OF THE UNIVERSITY.

3) ASSIGNMENT OF RESPONSIBILITIES

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL PERFORM THOSE FUNCTIONS BY ITS EXECUTIVE SUBCOMMITTEES OR THE APPROPRIATE REVIEW PANELS, AS THE CASE MAY BE.

4) REPORTING TO THE SENATE

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL REPORT TO THE UNIVERSITY SENATE THROUGH THE SENATE COMMITTEE ON RESEARCH IN ACCORDANCE WITH THE RULES AND ORGANIZATIONAL PROCEDURES OF THE SENATE, U1.302.5.

CONSULTATIVE

2. PANELS AND SUBCOMMITTEES

A. COMPOSITION AND FUNCTION OF HEALTH AND BIOLOGICAL SCIENCES SUBCOMMITTEE AND SOCIAL AND BEHAVIORIAL SCIENCES SUBCOMMITTEE

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL OPERATE BY MEANS OF SUBCOMMITTEES, COMPRISED OF TWO REVIEW PANELS EACH, REPRESENTING THE HEALTH AND BIOLOGICAL SCIENCES AND THE SOCIAL AND BEHAVIORIAL SCIENCES. MEMBERS OF THE PANELS, AS WELL AS PANEL CHAIRMEN, SHALL BE APPOINTED FROM THE FULL COMMITTEE BY THE ~~EXECUTIVE SECRETARY~~ WITH THE APPROVAL OF THE CHAIRMAN OF THE APPROPRIATE SUBCOMMITTEE. EACH PANEL WILL HAVE NO LESS THAN NINE (9) MEMBERS, SIX (6) OF WHOM SHALL BE FACULTY. THE FUNCTION OF THE PANELS WILL BE TO REVIEW AND APPROVE INDIVIDUAL PROPOSALS WITHIN THE PANEL'S DOMAIN, ACTING WITHIN ONE MONTH OF SUBMISSION. ACTION MAY BE TAKEN BY EACH PANEL WHEN AT LEAST FIVE MEMBERS ARE PRESENT, AT LEAST THREE OF WHOM ARE FACULTY. PANEL RECOMMENDATIONS SHALL BE BY MAJORITY VOTE WITH THE OPPORTUNITY FOR AN EXPRESSION OF A FORMAL MINORITY OPINION.

ADMINISTRATIVE ASSISTANT

B. COMPOSITION AND FUNCTION OF EXECUTIVE SUBCOMMITTEE ON POLICY

THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH SHALL HAVE ONE EXECUTIVE SUBCOMMITTEE ON POLICY WHICH WILL FORMULATE COMMITTEE POLICIES. MEMBERS OF THE SUBCOMMITTEE SHALL BE THE CHAIRMAN OF EACH REVIEW PANEL, THE CO-CHAIRMEN OF THE FULL COMMITTEE IF DIFFERENT FROM THE CHAIRMEN OF EACH REVIEW PANEL, ONE STUDENT REPRESENTATIVE, AND ONE COMMUNITY REPRESENTATIVE. THE SUBCOMMITTEE CHAIRMAN SHALL BE ELECTED BY A MAJORITY OF THE SUBCOMMITTEE MEMBERS.

ANY COMMITTEE MEMBER MAY PETITION THE SUBCOMMITTEE FOR REVIEW OF ANY POLICY STATEMENT FORMULATED AND APPROVED BY THE SUBCOMMITTEE AND MAY REQUEST THAT THE ISSUE BE BROUGHT TO THE ATTENTION OF THE FULL COMMITTEE FOR ITS ACTION. A MAJORITY OF THE FULL COMMITTEE SHALL BE REQUIRED TO VETO ANY SUBCOMMITTEE ACTION.

ADMINISTRATIVE ASSISTANT3. ~~EXECUTIVE SECRETARY~~ TO THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCHADMINISTRATIVE ASSISTANT

- A. THERE SHALL BE AN ~~EXECUTIVE SECRETARY~~ TO THE COMMITTEE ON THE USE OF HUMAN SUBJECTS IN RESEARCH WHO WILL HANDLE THE ADMINISTRATIVE WORK OF THE COMMITTEE; SCHEDULE MEETINGS; AND MAINTAIN ADEQUATE RECORDS FOR THE COMMITTEE, SUBCOMMITTEE AND PANEL MEETINGS—INCLUDING FORMAL REQUESTS FOR APPROVAL OF RESEARCH PROJECTS, MINUTES OF ALL COMMITTEE, SUBCOMMITTEE AND PANEL MEETINGS, AND THE FORMAL DECISIONS OF THE COMMITTEE AND ITS SUBCOMMITTEES AND PANELS, TOGETHER WITH COPIES OF ALL LETTERS OF APPROVAL SENT TO THE INVESTIGATORS AND ANY PERIODICAL REPORTS BY INVESTIGATORS TO THE COMMITTEE, AS MAY BE REQUIRED BY THE PROCEDURES OF THE COMMITTEE.

ADMINISTRATIVE ASSISTANT

- B. THE ~~EXECUTIVE SECRETARY~~ SHALL NOT BE A VOTING MEMBER OF THE COMMITTEE OR OF ITS SUBCOMMITTEES OR PANELS BUT SHALL BE ENTITLED TO ATTEND ANY COMMITTEE MEETINGS, SUBCOMMITTEE, OR PANEL MEETINGS.

ADMINISTRATIVE ASSISTANT

- C. THE ~~EXECUTIVE SECRETARY~~ SHALL BE APPOINTED BY THE PRESIDENT FOR A THREE YEAR TERM, SUBJECT TO REAPPOINTMENT FOR SUCCESSIVE TERMS.

- D. The Administrative Assistant shall inform the Executive Committee of changes in the DHHS defined categories of exempt or expedited research procedures as published in the Federal Register

FIGURE 2

STRUCTURE OF THE COMMITTEE ON THE
USE OF HUMAN SUBJECTS IN RESEARCH

REVIEW PANELS

	MEMBERS FROM BIOLOGICAL AND HEALTH SCIENCES	MEMBERS FROM THE SOCIAL AND BEHAVIORAL SCIENCES	MEMBERS <u>NOT</u> FROM BIOLOGICAL, HEALTH, SOCIAL OR BEHAVIORAL SCIENCES	TOTAL
PANEL I, HS*				
FACULTY	6	2	4	12
STUDENTS	1	1	1	3
COMMUNITY REP.	--	--	1	1 (16)
PANEL II, HS				
FACULTY	5	2	4	11
STUDENTS	2	1	1	4
COMMUNITY REP.	--	--	1	1 (16)
PANEL I, SS*				
FACULTY	2	5	4	11
STUDENTS	1	2	1	4
COMMUNITY REP.	--	--	1	1 (16)
PANEL II, SS				
FACULTY	2	5	4	11
STUDENTS	1	2	1	4
COMMUNITY REP.	--	--	1	1 (16)
TOTALS				
FACULTY	15	14	16	45
STUDENTS	5	6	4	15
COMMUNITY REP.	--	--	4	4
TOTAL	20	20	24	SUM TOTAL 64

C. ACTIVITIES WITHIN THE PROPOSED STRUCTURE

1. RESEARCH PROTOCOL

A RESEARCH PROTOCOL IS DEFINED AS A GENERAL DESCRIPTION OF A STANDARD RESEARCH PROCEDURE, SUCH DESCRIPTION TO EMBODY ALL THOSE FEATURES OF A GIVEN RESEARCH PROCEDURE RELEVANT TO THE SUMMARY APPROVAL OF RESEARCH PROJECTS SATISFYING THE DESCRIPTION. APPROVED RESEARCH PROTOCOLS ARE TO BE CITED BY AN INVESTIGATOR FILING FOR SUMMARY APPROVAL OF A PROPOSED RESEARCH PROJECT.

A. Content

A research protocol will normally include:

- 1) A specific description of the procedure as it affects subjects including descriptions of what are considered allowable variations,
- 2) A specification of precautions necessary to safeguard the welfare of subjects,
- 3) The subject populations to which the procedure can be applied without risks to the rights and welfare of the subjects,
- 4) A specification of forms of consent required, if any,
- 5) A specification of methods to be used to assure confidentiality where that is appropriate, and
- 6) Variations in the procedure not approved because of the likelihood of risks to the rights and welfare of subjects.

B. Approval of Research Protocols

~~Departmental-Summary-~~ Research protocols are to be submitted to an appropriate review panel where they may be approved by a majority vote of the review panel membership in attendance.

All research protocols must be reviewed and approved every five years to remain active. Review of protocols will be initiated by the ~~executive-secretary~~ Administrative Assistant.

Any member of the Committee on the Use of Human Subjects in Research may request a review of any research protocol at any time. Upon majority vote of the Committee, a complete review of the research protocol shall be initiated. Until the review is completed, it shall stand as an approved research protocol, unless the Committee votes that no new research be approved

under this research protocol until the issue is resolved.

~~Methodological-Protocols-are-developed-and-approved-by-the
Executive-Subcommittee-on-Policy,-subject-to-review-procedures
in-III.B.2.B-above.~~

C. Research Procedure ~~Preteed~~ Handbooks

It shall be the duty of the ~~Executive Secretary~~ Administrative Assistant to maintain current ~~preteed~~ research procedure handbooks listing all approved ~~methodological-and-departmental~~ summary research protocols, expedited and screened for exempt status procedures.

2. Conduct of Research that Falls within the Scope of an Approved Research Protocol or an Expedited or Screened for Exempt Status Procedure

It is assumed that investigators will develop research projects on the basis of scientific merit, and before conducting research with human subjects consult the "~~Preteed~~ Research Procedure Handbook" to determine whether or not a research procedure falls within the scope of one or more of the screened for exempt status or expedited procedures or an existing research protocol.

In the event an investigator feels that all aspects of the research procedure fall within the scope of one or more screened for exempt status procedures, he or she is allowed to proceed only after informing the University Committee on the Use of Human Subjects and notification that it has been determined that the proposed research procedures do fall within the screened for exempt status procedures. Such notification shall be provided the investigator within two weeks.

~~In the event that an investigator feels that his procedure falls within the scope of existing protocols, he will be obligated to file a form with the Executive Secretary describing the nature of the research and the subject population and listing the protocol that covers the research procedure. The investigator will be allowed to conduct the research immediately after filing the form with the Executive Secretary and receipt of written notification from the Executive Secretary that the research falls within the approved protocol. Annually, approximately ten percent of the projects filed under a given protocol will be reviewed for compliance.~~

In the event that an investigator feels that one or more aspects of the research procedure fall within the scope of a research protocol/expedited category, he or she is obligated to complete a form to be filed with the Administrative Assistant stating the intent to initiate the research, the research protocol/expedited procedure(s) to be utilized, and a description of the research. This will then be brought to the attention of the chair or designated member of an appropriate review subcommittee for a timely review, not to exceed two weeks. The result of that review will be transmitted to the investigator. In the event the reviewer elects not to approve a project and to bring it to a subcommittee for review, the investigator will be offered a chance to respond to any concerns, and should expect a committee review within one month of the original application.

In the event that the investigator finds that his or her research procedure is not included within the scope of Principles 1 and 2, several options are available to him. First, the investigator may submit the research procedure to the appropriate review panel, which

is obligated to provide a speedy review of the proposal, that is, within one month. Second, the investigator may submit a research protocol for review and approval which would allow, if approved by the review subcommittee, a number of procedural variations to be utilized in the future research without prior review; however, this procedure will take longer. Third, the investigator may submit both a specific project for approval, and a new research protocol for approval, which would allow for timely initiation of a specific project and, if the research protocol was approved, utilization of procedural variations in future research without prior review.

A specific investigator may choose any of these three strategies depending upon the number of similar projects he expects to conduct and the time pressure to achieve approval of the project.

Any investigator is free to request individual Committee review of any research project even if a research program protocol exists or it falls within the expedited or screened for exempt status categories.

3. Individual Prior Review of ~~Non-Protecte~~ Research

If an investigator wishes to study a problem in such a way that a research procedure does not fall within the scope of an approved research protocol, expedited procedure, screened for exempt status procedure, listed in the "~~Protecte~~ Research Procedure Handbook," he or she will be required to present a description of his or her research procedure and the justification for the research to the appropriate review panel. The review panel will be required to examine the proposal, and if they feel that the risks to the rights

and welfare of the subjects are within the scope of Principles 1 and 2, they will approve the proposal.

If the review panel feels that the risks to the rights and welfare of the subjects are greater than specified in Principles 1 and 2, then the panel will be required to evaluate the benefits to be realized from the research and the importance of the research in comparison to the risks to the rights and welfare of the subjects. Possible long-range effects of applying knowledge gained in the research (for example, the possible effects of the research on public policy) will not be considered as among the risks within the purview of the panel's responsibility.

4. Application for Review and Approval of ~~Non-Preteeeel~~ Research ~~In-order-to-obtain-approval~~ To obtain a committee review of any research, the investigator or investigators who wish to undertake scientific research involving human subjects shall prepare and have forwarded to the Administrative Assistant an application.
- A. The principal investigator shall prepare a written description of the research project indicating:
- 1) The purpose of the project
 - 2) The nature of any procedures involving human subjects
 - 3) The risks involved to such human subjects
 - 4) The precautions which are to be taken to avoid risk to the human subjects--including the methods to be used in securing an adequately informed consent by the human subjects or their legal representatives, and the measures used to protect the confidentiality of the data
 - 5) The provisions which are made for professional attention or facilities to provide for the welfare of subjects during

and following the research procedures

- B. Thereafter, the application containing this written description shall be forwarded immediately to the ~~Executive-Secretary-~~
Administrative Assistant.
 - C. ~~The-Executive-Secretary~~ The Administrative Assistant will assign the application to the appropriate panel. Research dealing with both health science phenomena and social science phenomena should be reviewed by panels representing both areas of research.
 - D. The review panel will be expected to conduct an initial evaluation of any research proposal within one month of its submission to ~~the-Executive-Secretary~~ the Administrative Assistant.
 - E. Following its review of the projected research, the panel shall determine whether the research project will be approved, with or without modification, or disapproved. The determination of the panel should be by majority vote with opportunity for a formal recording of an expression of minority views by any members who disagree with the determination or recommendations made. Any two panel members may invoke the appeal procedure (5. Paragraph 4).
 - F. The formal action of the panel and any expression of minority views shall be reported to the ~~Executive-Secretary~~ Administrative Assistant of the Committee, and by him/her to the investigator. The ~~Executive-Secretary~~ Administrative Assistant shall keep a file of all decisions which will be open to all committee members.
5. Appeals of Subcommittee or Panel Decisions
- Any investigator may appeal a decision of a review panel or subcommittee to the Committee on the Use of Human Subjects in Research.

Any two members of a reviewing subcommittee or panel may request review of a decision within one month of receipt of requests for review by the ~~Executive-Secretary~~ Administrative Assistant. Ad hoc subcommittees may be appointed when considered appropriate, but no member of the original review committee should serve on such committees. The investigator may present in person to the Committee information he believes relevant. Notice of action by the University Committee shall be sent by the ~~Executive-Secretary~~ Administrative Assistant to the investigator and to each Committee member.

Action taken by the full Committee on the Use of Human Subjects in Research, whether or not on an initial consideration of an application, shall be considered as final, except as follows:

- A. If the principal investigator is a member of faculty or staff of the University, the Senate Committee on Faculty Affairs may review the submission and disapproval of a proposed research project to determine whether there has been any infringement of academic freedom, and if the Committee on Faculty Affairs finds that the circumstances involved in the action of the University Committee on the Use of Human Subjects in Research involve an infringement of academic freedom, it may direct the Committee to reexamine the proposal and reconsider its action. Upon reexamination and reconsideration of its action, the decision of the Committee is final.
- B. If the principal investigator is a student at the University, the Twin Cities Assembly Committee on Student Affairs (or the comparable Committee on Student Affairs of such other campus at which the

student is in residence) may review the submission and disapproval of a proposed research project to determine whether there has been an infringement of academic freedom, and it may direct the University Committee on the Use of Human Subjects in Research to reexamine the proposal and reconsider its action. Upon reexamination and reconsideration of its action, the decision of the Committee is final.

6. Complaints against Investigators

- A. Any subject of research, faculty member, student, or member of the community may make a complaint with the Committee on the Use of Human Subjects in Research that an investigator has failed to submit a protocol to the Committee for review prior to the initiation of a research study or that an investigator has failed to comply with the prescribed standards for the use of human subjects in a research protocol approved by the Committee.
- B. All complaints related to the conduct of research with human subjects shall be directed to the ~~Executive-Secretary~~ Administrative Assistant to the Committee on the Use of Human Subjects in Research who shall review the complaint with the relevant co-chairman of the Committee and shall bring it to the attention of the first subsequent review panel. A review panel shall consider each complaint and if the review panel decides, by majority vote, that the complaint merits investigation, then the complaint shall receive a full investigation. An investigator shall then be informed that a complaint has been filed and is under investigation by the Committee on the Use of Human Subjects in Research.

- C. For each investigation, an ad hoc subcommittee of not less than three members, of whom the majority shall be faculty members, shall be appointed by the chairman of the review panel and approved by a majority vote of the review panel. The ad hoc investigating committee should have access to the resources necessary to conduct a complete investigation, be composed of a majority of individuals with the technical competence to understand relevant scientific issues and should be able to draw upon the competence of non-Committee members in conducting its investigation.
- D. Upon completion of the investigation, the ad hoc investigating subcommittee shall report its findings to the full health and biological sciences subcommittee or the full social and behavioral sciences subcommittee, as applicable.
- E. The subcommittee shall determine, by majority vote, either to approve the ad hoc investigation subcommittee's finding that the complaint is unjustified and no further action will be taken, or that the complaint is justified and that further action should be taken. In the latter case, a report of the investigation shall be forwarded to the President of the University for final disposition.

APPENDIX A

POTENTIAL (A-1,2) EXEMPT FROM PRIOR REVIEW PROCEDURES
(B) SCREENED FOR EXEMPT STATUS PROCEDURES

NOTES:

- a) These six categories are based, almost verbatim, upon the five provided in the new DHHS guidelines (45 CFR Part 46.101, (b)). The sixth category, C, included within D by DHHS, relates to research on elected or appointed public officials or candidates for public office. Clearly, problems could arise if public employees, and almost all the members of institutional review boards at the U. of Minnesota are public employees, were to pass judgement on investigator's plans to conduct research on the political process. Exempt research in categories D and E have been modified from the DHHS categories to apply only to "legally competent noninstitutionalized adults," that is survey and observational research with minors or the incarcerated (in prisons, mental institutions, etc.) would not be exempt from prior review. In contrast, exempt categories A and B apply to all participants, minors or adults, as they are obviously designed to cover educational research in public schools.
- b) If the proposed policy and procedures are adopted, these procedures are subject to approval by the Board of Regents.

This shall include all projects which involve only the following research procedures, singly or in combination:

- A) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as:
 - 1) Research on regular and special educational instructional strategies, or
 - 2) Research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- B) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement) if information taken from these sources is recorded in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- C) All research involving survey or interview procedures is exempt, without exception, when the respondents are elected or appointed public officials or candidates for public office.
- D) Research involving survey or interview procedures with legally competent noninstitutionalized adults, except where all of the following exist:
 - 1) Responses are recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects,
 - 2) the subject's responses, if they become known outside the

research, could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability, and

3) the research deals with sensitive aspects of the subject's own behavior, such as illegal conduct, drug use, sexual behavior, or the use of alcohol.

E) Research involving the observation (including observation by participants) of public behavior or legally competent noninstitutionalized adults, except where all of the following conditions exist:

1) Observations are recorded in such a manner that the human subjects can be identified, directly or through identifiers linked to the subjects,

2) The observations recorded about the individual, if they become known outside the research, could reasonably place the subject at risk of criminal or civil liability or be damaging to the subject's financial standing or employability, and

3) The research deals with sensitive aspects of the subject's own behavior such as illegal conduct, drug use, sexual behavior, or use of alcohol.

F) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded in such a manner the subjects cannot be identified, directly or indirectly through identifiers linked to the subjects.

APPENDIX B

POTENTIAL EXPEDITED REVIEW PROCEDURES

NOTES:

a) Based upon FEDERAL REGISTER, January 26, 1981, pg. 8,392.

b) If the proposed policy and procedures are adopted, these procedures are subject to approval by the Human Subjects Committee.

1) Collection of hair and nail clippings, in a nondisfiguring manner, deciduous teeth; and permanent teeth if patient care indicates a need for extraction.

2) Collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at the time of rupture of the membrane prior to or during labor.

3) Recording of data from subjects 18 years of age or older using noninvasive procedures routinely employed in clinical practice. This includes the use of physical sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography,

thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range (for example, X-rays, microwaves).

4) Collection of blood samples by venipuncture, in amounts not exceeding 450 milliliters in an eight-week period and no more than often than two times per week, from subjects 18 years of age or older and who are not pregnant.

5) Collection of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques.

6) Voice recording made for research purposes such as investigations of speech defects.

7) Moderate exercise by healthy volunteers.

8) The study of existing data, documents, records, pathological specimens, or diagnostic specimens.

9) Research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the investigator does not manipulate subjects' behavior and the research will not involve stress to subjects.

10) Research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required.

PROPOSED AMENDMENTS TO
UNIVERSITY OF MINNESOTA
STANDARDS AND PROCEDURES RELATED TO THE USE OF
HUMAN SUBJECTS IN RESEARCH:
Revision of March 30, 1982

Presented by Paul Reynolds
Department of Sociology

8 April 1982

Additions in CAPITOL letters.
Deletions marked out.

ONE - Page 2, line 8.

1. To safeguard and respect fully the rights and welfare of the individuals involved as human subjects AND INVESTIGATORS in such research,

TWO -- Page 2, line 16.

1. Provide OPPORTUNITIES for collegial review prior to initiation of all research involving human subjects . . .

THREE -- Page 3, add to list at bottom of page.

6. FOR PROJECTS RECEIVING PRIOR REVIEW, PROVIDE LEGAL ASSISTANCE AND ADMINISTRATIVE SUPPORT TO INVESTIGATORS CONFRONTED WITH LEGAL ACTION.

FOUR -- Page 7, line 17 & 18.

1. Projects screened for exempt status may be initiated after informing the University Committee on the Use of Human Subjects in Research of the intent to engage in research [~~and receipt of notification that the procedure falls within an exempt from prior review category~~].

Page 18, line 24-27.

In the event an investigator feels that all aspects of the research procedure fall within the scope of one or more screened for exempt status procedures, he or she is allowed to proceed only after informing the University Committee on the Use of Human Subjects [~~and notification that it has been determined that the proposed research procedures do fall within the screened for exempt status procedures.~~] OF THE INTENT TO CONDUCT RESEARCH WITH A SCREENED FOR EXEMPT STATUS PROCEDURE. [~~Such notification shall be provided the investigator within two weeks.~~]

COMMENTARY ON PROPOSED AMENDMENTS

ONE

This makes explicit the implicit charge to the committee, to balance the rights and welfare of two categories of individuals -- the participants and the investigators. Although most of the procedure and attention is focused upon the interests of the participants, there are occasions when the investigators rights are also at issue.

TWO

This is consistent with the basic thrust of the current revision, where substantial amounts of research, particularly related to social science, may not receive a full committee review. Yet the opportunity for such a review is made available for any research project.

THREE

This also makes explicit an implied commitment on the part of the University regarding the responsibilities to investigators that participate in the prior committee review. As prior committee review is not required of all research, this provides an explicit incentive to all investigators to seek such a review before initiating research.

FOUR

This change amounts to an implementation of an intermediate category of "screened for exempt status" procedure (chosen by a large minority of voting Human Subject Committee members). The procedure would allow any investigator to proceed with research in an exempt category after notifying the Human Subjects Committee that the project was underway, using a form that is yet to be designed. This would provide for a systematic record of all research involving human subjects, ensure that investigators had an obligation to keep in touch with the University Committee and at the same time minimize the work of the staff in reviewing and responding to applications--thus reducing delays and complications for the research process.

Further, it is more restrictive than the procedures allowed by the new DHHS regulations, which do not call for any contact between investigators conducting research in the exempt categories and a human subjects committee. This was due to the virtual lack of any evidence, much less systematic reports, of negative consequences for participants in much of social science research, particularly those using the procedures outlined in the proposed exempt categories. This is consistent with the experience at the University of Minnesota.



UNIVERSITY OF MINNESOTA
TWIN CITIES

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SENATE CONSULTATIVE COMMITTEE
CONVERSATION WITH THE PRESIDENT
April 8, 1982

The Senate Consultative Committee's conversation with President Magrath was convened at 12:45 p.m. on April 8 in the Regents Room of Morrill Hall. Members present were Bea Anderson, Bob Brasted, Marcia Eaton, Virginia Fredricks, John Howe, Keith Jacobson, Dennis Kronebusch, Dave Lenander, Rick Linden, Marv Mattson, Douglas Pratt (Chr.), Rick Purple, Paul Quie, Donald Spring, Patricia Swan, and Kit Wiseman (Student Chr.). Also attending were President Magrath, Vice Presidents Keller and French, Carol Pazandak, Mary Jane Plunkett, Wesley Simonton, Julie Bates, Maureen Smith.

1. Matching budget cuts to program priorities.

President Magrath stated that there is not a university in the country that has done a better job of planning for retrenchment than has Minnesota. The Budget Executive and other administrators have kept a linkage between cuts and the plan even when it would have been more expedient to dump the plan. Vice President Keller said one-third of the budget reductions for 1982-83 are in the programmatic plan area. Professor Swan added that Vice President Keller told Finance he would track to see how many immediate cuts taken from soft money are fitted later on to the plan. John Howe commented that success in matching cuts to plans varies widely among colleges.

2. Cohesiveness of The University vs. independent and entrepreneurial activities of its units. John Howe said that in various contexts, for several years, concern has been expressed within the University that some units seem to go off and function differently from units in general. Perhaps we are becoming a set of discrete units, he suggested, each tending to go off on its own, spurred by the competition for scarce resources in the current economy. Enterprising leaders act to protect and enhance their units' best interests. While a fair amount of such activity may be inevitable, it is Howe's sense that the centrifugal tendencies are stronger than they used to be. Examples are:

- Law School's semester calendar, implemented in fall of 1981, without submission to the Campus Calendar Committee;
- arrangements apparently in place for some units' control of their own tuition income;
- Burlington Northern's recent \$300,000 grant for salaries.

Howe asked how far certain forces, such as student demand (e.g., in the School of Management) should be allowed to drive parts of the University. While

finding ways to improve a unit's circumstances should be applauded, Howe asks that other consequences be considered as well.

President Magrath said Professor Howe was raising an issue we should be discussing openly and self-consciously. He and, he believes, most University people, believe in the ethos of the coherence of The University. He does not think the centrifugal forces are unique to this period. His perception is that there is relatively more focus on the needs of the whole University now than there was several years ago, and that the focus has been fostered by the mission statement revision, the Planning Council, and the entire planning process. Retrenchment decisions have forced the University-wide focus. On the other hand, there will always be a tremendous amount of entrepreneurship. He finds Minnesota relatively more integrated than many large universities, particularly considering its land grant status. In response to Professor Howe's examples:

- The question of dedicated tuition is unresolved. Currently only the evening MBA program, explained V. P. Keller, operates to retain some percentage of its own tuition.
- Private fund-raising has been enormously successful and beneficial to the whole University, and the President recently established the Administrative Development Committee to gain some central control over grant-seeking.
- Salary supplement possibilities are a benefit the President wishes were available to all faculty. Administrators at some universities have responded to market-driven salaries by overtly employing differential scales. The president said that policy bothers him personally.
- Many University units operate with their own calendars, including Law, Medicine, and Dentistry. An effort was made to demonstrate that the new Law School calendar would have no adverse effects upon students or on space scheduling.
- Differential treatment of units may be the answer in some cases.

Professor Eaton noted that while the planning process has come along very well, there is a sense in which it tends to exaggerate separateness. Each dean naturally wants to make the best possible case for his/her college. She asked if there is a way to build into the planning process a point at which participants talk about how they perceive and assess one another's units.

Vice President Keller cautioned that having people comment on others' kind of work and means of support can lead to a problem through lack of accountability.

Professor Swan expressed concerns similar to Professor Eaton's but with a different frame of reference:

- a) The Planning Council and its subcommittees have identified lateral planning as a problem area. There was inadequate attention to lateral planning in the first cycle of program prioritizing; it is to be addressed in the second cycle.
- b) When good things happen to us, we need to find ways to make explicit and tangible statements on how those advantages help the larger world.

- c) We need to increase our conscious awareness of our responsibility to each other. We should have more conversations across unit lines. The Food Science & Nutrition program, for example, relies heavily on several academic units. Differing calendars and practices affect the way in which the faculty can do their best for their students.

President Magrath observed that efforts at explicit communication sometimes go unheeded. The deans of the health sciences a few years ago set up a meeting to explain their practices to other deans; very few guests came.

Professor Spring recommended thoughtful control over the way special benefits are announced. The "have-nots" tend to learn about new advantages accruing to others through news media stories which say little or nothing about the benefits to those beyond the immediate recipient.

Dave Lenander pointed out that departments within a college or institute can also fail to share a common understanding on priorities. Colleges need to be clear on how their missions affect the University as a whole. Also, the University should make clear to the legislature its reasons for deciding to drop certain programs and inform the legislature where students can go to get the program.

Professor Brasted recommended interchanges among members of curriculum committees as a means of achieving inter-collegiate conversations. Participants can thereby learn what units need and expect of one another. This is particularly true for units with heavy service loads of filling distributive requirements.

Discussion indicated that a limited amount of such interchange occurs. CLA's curriculum committee has representatives from the basic sciences, and Health Science committees exchange among themselves to avoid duplication in offerings.

Professor Fredricks remarked that current competition for diminished resources builds tension. Unit territorial sense has grown. People should be aware, she said, that they have a right to speak out regarding units; they may raise points which the unit itself hasn't yet considered.

President Magrath invited Professor Howe to send a copy of his full letter on concerns about centrifugal forces to him and to Vice President Keller to help keep them alert to the institutional mind-set.

Other questions to the President.

3. Waseca's unrepresented academic employees.

Dennis Kronebusch forwarded a question from on behalf of the approximately one-third of their "faculty" not represented in the bargaining unit. They want to know if they can achieve representation on the SCC and in the Senate. Apparently these are non-regular faculty whose appointments are part-time in teaching and part-time in another capacity such as the student affairs office.

President Magrath and Vice President Keller said that there may be ways for persons not legally in the bargaining unit to participate in the Senate structure. If their appointments are in the academic professional category, they may become eligible for Senate voting and membership, depending upon the way that amendment to the Senate constitution is written. (As presently proposed by

Business and Rules, only the number of faculty determine the number of senators a unit gets, and the number of P.A. employees in a unit would not affect Senate representation, even though the appropriate class of P.A.'s could vote for senators and be eligible for election.)

4. Cuts in T.A. positions.

Rick Linden said that the cuts in T.A. numbers suggests a severe cut in the number of course sections available for next year, meaning inaccessibility of needed classes to many students.

The president confirmed that the budget cuts indeed mean less access into classes in some departments. Vice President Keller repeated from his report to the Finance Committee that for some threatened courses senior faculty members may next year do the teaching, where that is fair in terms of work load.

Mr. Linden asked if the University is considering limiting enrollment. The president stated that certain enrollment restrictions exist, but that to raise CLA admission standards even higher would create new problems.

The conversation concluded at 1:50 p.m.

Meredith Poppele, SCC Secretary,
Recorder



UNIVERSITY OF MINNESOTA
TWIN CITIES

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April 2, 1982

President C. Peter Magrath
202 Morrill Hall

Dear Peter:

The Senate Consultative Committee has two topics it wishes to discuss with you at our April 8 meeting.

1. We would like to learn the current picture on how well the University's long range planning is linked with the specifics of retrenchment for next year, based upon the forms recently returned to the Budget Executive showing the deans' respective proposed actions to accommodate the 1981-83 spending reduction targets in O&M funds.

2. John Howe has suggested that we might profitably spend some time discussing a rather weighty matter that concerns him and I believe many others. At the risk of inadequately representing his view, let me phrase a summary question and then draw from John's note to me in an effort to put the question in its appropriate context:

Are the circumstances that the University faces at this time and the kinds of responses that seem forced upon us threatening the internal integrity of the institution and leading us away from the concept of a single more or less cohesive body of interdependent parts toward a system of more loosely affiliated, largely autonomous units each with its own expectations, opportunities and responsibilities?

John sees this possible change in direction as being driven in part by entrepreneurial drive, in part by an effort to buffer against University retrenchments, and in part by a sense of mission distinctiveness. Aggressive fund raising efforts in certain units, special agreements with the administration concerning tuition control and dedication, separate de facto salary schedules, and independent control over the academic calendar, to the extent that they occur, appear to be manifestations of a growing trend toward unit independence. One might also expect that the making of personnel decisions will also eventually be affected.

Clearly there is much to chew on here. We would appreciate an opportunity for an exchange of views.

Cordially,

Douglas C. Pratt, Chair,
Senate Consultative Committee

DCP:mbp

cc: V. P. Keller

V. P. Hasselmo



UNIVERSITY OF MINNESOTA
TWIN CITIES

Department of History
614 Social Sciences
267 19th Avenue South
Minneapolis, Minnesota 55455
(612) 373-2705

MAR 24 1982

March 22, 1982

Dear Doug -

During recent months a number of related issues have come to concern me. I wonder if they might not be appropriate for discussion in S.C.C., and perhaps between SCC and the President. Let me describe them very briefly.

There's increasing evidence, I think, that some collegiate units, under the pressure of financial stress and in keeping with aggressive and innovative leadership, are moving away from meaningful interdependence with the rest of the University and going off very much on their own. In fact, it's a manifestation of entrepreneurial drive, in part an effort to buffer against University retrenchments, and in part a sense of mission distinctiveness. It shows up in aggressive fund raising, special agreements with the administration concerning tuition control and allocation, separate de facto salary schedules, independent control over the academic calendar, and the like — and the tendency is clearly growing. I don't know, but I wonder

if it has begun to show up in the making of personnel decisions as well?"

Certainly we don't want to stifle collegiate infirmity. But I think there are dangers in all of this as well: in letting market considerations play too strong a role in determining which areas of the University grow and which die not, for example, or in allowing into question the unity of the University and threatening to make of the University a loose company of largely autonomous units. Many people have had reason to worry about the Medical School in something like these terms. Increasingly, there are other examples, largely but not altogether in the professional schools, that might be cited.

Recently, in considering the proposal for a tax cut fare on the inter-campus bus, we talked about the principle of a single campus and single university. Fair enough! But there are other and perhaps more important contexts within which the same principle needs to be expressed.

Cordially,
John




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MAR 30 1982

March 26, 1982

TO: Professor Douglas Pratt, Chairman, Senate
Consultative Committee
Professor Patricia Swan, Chairman, Senate
Finance Committee

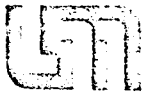
FROM: Kenneth H. Keller, Vice President 

SUBJECT: Tuition and Faculty Salary Increases at other
CIC Institutions

I have enclosed a memorandum which President Magrath mentioned to the Senate Consultative Committee at a recent meeting. Please feel free to distribute the information to your committees.

:lme
Enclosure

cc: Dr. C. Peter Magrath, President



UNIVERSITY OF MINNESOTA

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March 15, 1982

TO: Dr. C. Peter Magrath, President
Mr. Frederick M. Bohlen, Vice President for Finance and Operations
Dr. Lyle A. French, Vice President for Health Sciences
Dr. Nils Hasselmo, Vice President for Administration and Planning
Dr. William F. Hueg, Deputy Vice President and Dean, Institute of
Agriculture, Forestry and Home Economics
Dr. Stanley B. Kegler, Vice President for Institutional Relations
Dr. Frank B. Wilderson, Vice President for Student Affairs

FROM: Kenneth H. Keller, Vice President

SUBJECT: Tuition and Salary Increases for 1982-83 at CIC Institutions

The following is a summary of my notes from a CIC meeting on expected tuition and salary increases:

Chicago

Tuition: 17.5% (15% in Business)
Salaries: Approximately 10%

Indiana

Tuition: 12% in-state; 17% out-of-state
Salaries: Approximately 4%

Iowa

Tuition: 9% undergraduate; 11% graduate; 20-30% professional
Salaries: 8% expected.

Michigan

Tuition: 10-15% (18% last year)
Salaries: 0-9%, 6% most likely (6% last year)

Michigan is reducing entering medical and dental classes by 25%.

Michigan State

Tuition: ?
Salaries: 0-5%

Northwestern

Tuition: 17.4%
Salaries: Approximately 3%

C. Peter Magrath and Vice Presidents
March 15, 1982
Page 2

Ohio State

Tuition: At least 15% (15% last year)
Salaries: 4-6%

Wisconsin

Tuition: 6.5%
Salaries: 8% (assuming defeat of a salary-capping bill limiting
\$30,000 to 4.1%)

:lme



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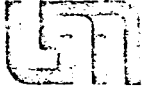
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ALL UNIVERSITY SENATE CONSULTATIVE COMMITTEE
Thursday, April 29, 1982
12:30 - 3:00
Dale Shephard Room, Campus Club

AGENDA

1. Fix agenda.
2. Minutes of April 8 (enclosed).
3. Report of the Chair (oral).
4. Report of the Student Chair (oral).
5. Committee reports
 - a. Finance
 - b. Financial emergency.
6. Old Business
 - a. SCC appointments to Senate committees and Assembly Steering Committee appointments to Assembly committees
 - b. Use of Human Subjects in Research: Committee's proposed policy revisions (please bring text sent prior to April 8 meeting).
7. New Business
 - a. Social Concerns Committee reporting procedures (Patricia Williamson)
 - b. Business and Rules' proposal for P/A class representation in Senate (David Giese)
 - c. Judicial Committee procedural rules change proposal (Kim Munholland)
 - d. SCC budget (enclosed).
8. Adjourn.