



UNIVERSITY OF MINNESOTA

University Senate Consultative Committee  
210G Burton Hall  
178 Pillsbury Drive S.E.  
Minneapolis, Minnesota 55455  
Telephone (612)373-3226

FACULTY CONSULTATIVE COMMITTEE MEETING  
AND  
DISCUSSION WITH THE PRESIDENT

February 28, 1985  
10:15 - 12:30  
300 Morrill Hall

AGENDA

- 10:15 1. Minutes of February 14 (enclosed).  
2. Report of the Chair.  
3. University Grievance Procedures, Section C. (Revised Section C was distributed at the February 14 meeting.)
- 10:45 4. The legislative session: report from Professor Phil Shively.

DISCUSSION WITH INTERIM PRESIDENT KELLER

- 11:00 5. President's items.  
6. Status of Cycle III planning.

*President had to  
cancel.*

*new agenda items:*

*(1) Planning a forum  
(2) nominating subcommittee  
report + discussion*

*(3) newsletter format*



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MINUTES  
FACULTY CONSULTATIVE COMMITTEE  
February 28, 1985  
300 Morrill Hall  
10:15 - 12:20

Members present: Phyllis Freier, Joseph Latterell, Cleon Melsa, Jack Merwin (Chr.), Frank Sorauf, Deon Stuthman, Burt Sundquist.

Guests: John Aune (Daily), Professors Phil Shively and John Sullivan, Assistant Vice President Heydinger.

1. Minutes of February 14 were approved with clarifications to the item on Grievance Procedures.
2. University Grievance Procedures, Part C. Continuation of discussion.

Guest: Professor John Sullivan, Chairman of the Senate Committee on Research.

The question for discussion was the preferred process for handling allegations of fraud in research. The Senate Committee on Research (SCR) on two occasions supported the system proposed in the new draft University Grievance Procedures. However, Professor David Brown, Dean of the Medical School, has written<sup>to</sup> and met with the SCR to express his strong disagreement with that proposed process and to advocate use of a different set of procedures, one which he is currently following and which is based upon the guidelines of the Association of American Medical Colleges. Professor Sullivan distributed copies of Dr. Brown's correspondence with him.

Under the Medical School's plan the dean initiates a review, while under the draft Grievance Procedures the appropriate Vice President would initiate fact-finding if informal departmental discussions have not resolved the allegation. The Medical School process includes reporting to the funding agency, which the draft Grievance Procedures do not.

Professor Merwin recommended that the opinion of the University's deans or some subgroup of deans should be sought regarding the differing approaches.

FCC members said in discussion that the whole University should use a single system for handling allegations of research fraud.

Professor Sullivan said that Dean Brown does not conceive of fraud as a grievance. FCC members contended that one could view the University as an entity aggrieved if a faculty member appeared to be committing fraud. FCC agrees the

procedures must protect everyone's rights -- those of the accused and those of the University, and those of anyone else who could be directly affected such as, in particular, a graduate student working on the project being investigated.

Professor Sullivan told FCC that he planned to ask the Research Committee to approve some version of the draft in Part C that he work out with Professors Freier and Pazandak.

Some FCC members thought the Medical School plan too much centralized in the dean and requiring too long and cumbersome a total process -- if the person being investigated were to choose to appeal the outcome to the Appeals Committee on Academic Freedom and Responsibility.

Professor Sullivan invited FCC members to continue to forward to him their thoughts and suggestions on the question.

3. Legislative Relations. Guest: Professor Phil Shively, FCC's faculty legislative liaison.

Professor Shively told FCC the legislative session was just now entering its full swing. He and the Faculty Association had not yet had a lot of personal contact with legislators but are attending all the relevant hearings. They are preparing position papers on graduate fellowships, faculty salaries generally, and special retention and market issues. They have arranged a total of about ten evening sessions between individual legislators and faculty constituents.

The University's faculty groups (UMDEA, AAUP, UMFA, and Shively for FCC) have all met to coordinate their testimony on salary issues.

Items:

- It is likely the state will keep its commitment of last year and pay the second half of the faculty retirement fund deficit.

- There has been particularly good response to the proposal for endowed faculty chairs. The University estimates that in the aggregate there will be approximately a 2/3 to 1 match of private to state funds.

- Salaries. The request stands at 7% and 7% which would move average salaries ahead faster than Senate and Regential schedule because of the lower-than-anticipated inflation rate. The President has testified to that effect and given assurances the University would report in its next biennial budget request on the rate of progress towards its goal.

- Prospects for modifying the average cost funding formula. Many legislators and many of the Governor's staff like average cost funding, and treat it as a starting point for discussion. While no one proposes dropping it, the University may be able to get it modified.

- Tuition issues and faculty salary issues: there does not seem to be tension between them.

- Focusing the University's mission and the implication the University should take the lead in dividing up the state's higher education responsibilities. Professor Shively said that except for a bit of hesitation regarding Waseca and

Crookston, the recommendations have had a very positive reception. However, no legislators have yet said the plan obviously requires changes in the funding method, and there has been little talk so far about the need for other systems to change too. The University, he said, should develop some more comprehensive plan on how average cost funding should be modified, to propose for the 1987 legislative session.

4. Report of the Chair. Professor Merwin.

President Keller will miss this meeting with the FCC to take part in a noon-time MPR program. The SCC discussion with him in the afternoon will be entirely on the mission focus proposals.

Assistant Vice President Heydinger will, if possible, come this morning to give FCC a short report on the status of Cycle III planning.

5. Nominations Subcommittee. Professor Freier.

Professor Freier reported for the subcommittee and distributed a list of the proposed nominations. The FCC approved for the following committees the names recommended for membership, for back-ups, and for the chairmanships: the Assembly Committee on Intercollegiate Athletics, and the Senate Committees on All-University Honors, Business and Rules, and Planning. (FCC makes its recommendations for All-University Honors to the President, who makes those appointments.) The FCC approved the subcommittee's request to appoint one new member to the Planning Committee for a one-year term to restore regular continuity and rotation to that committee. The person should be a well-experienced citizen of the University community.

Professor Merwin will telephone nominees to ask their consent to serve.

6. Newsletter format. FCC discussed very briefly the relative advantages of a full page Daily bulletin and of individually-mailed newsletters to reach the "attentive public" -- those individuals interested in the content.

7. Cycle III Planning. Guest: Assistant Vice President Heydinger.

Dr. Heydinger joined the meeting at this point and distributed copies of "A Review of Planning at the University of Minnesota" (which will be given to legislative committees) and a two-page outline entitled "Cycle II of Planning, 1984-85, To Guide the 1985-87 Biennium." At his meeting scheduled for the afternoon of this date he was to explain to legislators the importance of departmental planning and the relation of the University's internal planning to the mission focus proposals.

Cycle III is an abbreviated planning cycle to implement what has already been decided. The administration, he said, is now focusing on how colleges implement their plans and on how they integrate those plans with the recommendations from the task force reports. Cycle IV is lengthier, and intended to bear upon the 1987-89 biennial budget request.

The biggest issue raised by the Deans in Cycle III, he reported, is that of differential progress toward Cycle II's retrenchment target goals. The

deans say central administration has to be more equitable and to require more comparable rates among units of moving toward retrenchment targets, or else the theory and rhetoric of moving funds from lower priority programs to higher priority programs will be vacuous. The president, he said, is committed to holding to those targets and making progress toward them. While the targets were set regardless of tenure commitments in the units, schedules were then agreed to at which the changes actually could take place. Dr. Heydinger said those schedules have hardly changed.

The assistant vice president said his office will look at what it would mean if Academic Affairs required every unit to have completed at least 50% of its retrenchment by June, 1986. The targets beyond 1985 are very inexact, he said.

8. Indemnification policy.

Professor Merwin reported that committee chairpersons at the recent Facilitative Committee meeting voiced their belief that the Faculty Affairs Committee should have been informed about the indemnification policy Attorney Dunham is proposing to the Regents. Professor Merwin has inquired of Attorney Dunham about the plan. Mr. Dunham reports that the coverage is good, and equally good for University faculty and Regents.

FCC discussed the subject briefly before adjourning at 12:20 p.m.

Meredith Poppele,  
Recorder



UNIVERSITY OF MINNESOTA

University Senate Consultative Committee  
210G Burton Hall  
178 Pillsbury Drive S.E.  
Minneapolis, Minnesota 55455  
Telephone (612)373-3226

February 21, 1985

Interim President Kenneth Keller  
202 Morrill Hall

Dear Ken:

The Faculty Consultative Committee next meets with you on February 28 at 11:00 a.m. After we take up the items you would like to bring to us, we would appreciate the chance to learn from you about the status of Cycle III planning.

Sincerely,

A handwritten signature in cursive script, appearing to read 'Jack Merwin'.

Jack Merwin, Chair,  
Faculty Consultative Committee

JCM:mp

cc: Dr. Neal Vanselow

2/28/85

To: Faculty Consultative Committee  
From: Nominations Subcommittee (P. Freier, Chr., P. Murphy, D. Stuthman)  
Subject: Proposed nominations

	<u>Nominee</u>	<u>Back-up</u>
ASSEMBLY COMM. ON INTERCOLLEGIATE ATHLETICS	Rick Purple (Med., Senator) John Clark (CLA) - proposed for second term Earl Scott (CLA)	James Fuchs (CBS, Senator)  Carol Miller (GC)
<u>To chair:</u>	John Clark	Eleanor Fenton
ALL-UNIVERSITY HONORS	Wilbert Ahern (UMM, Hist.) Robert Beck (Educ.)	Art Williams (SOM)
<u>To chair:</u>	Wayland Noland (IT)	Beck or Williams
BUSINESS AND RULES	John Fossum (SOM) Thomas Woxland (P/A: Law Library)	Leon Green (IT) <del>Gail McClure</del> (P/A: Ag. Ext.) <i>Marilyn Green</i>
<u>To chair:</u>	Caroline Czarnecki	
PLANNING*	James Hearn (Educ.) (3)* David Hamilton (Med.) (3)* Stu Fenton (IT) (1)*	<del>Robert Bruininks</del> (Educ.) Ellis Benson (Med.) L.H.
<u>To chair:</u>	Pat Swan	Donald Spring

\* Terms on the Planning Committee have gotten askew. No member has a term expiring next year. The subcommittee strongly recommends appointing one new member for a one-year term; next year SCC might want to ask the person to begin a full term.

A REVIEW OF PLANNING  
AT THE UNIVERSITY OF MINNESOTA

BY RICHARD B. HEYDINGER  
ASSISTANT VICE PRESIDENT  
FOR ACADEMIC AFFAIRS

PREPARED FOR:  
THE HIGHER EDUCATION SUBCOMMITTEE OF THE  
SENATE EDUCATION COMMITTEE  
SENATOR LEROY STUMPF, CHAIR

FEBRUARY 28, 1985

## WHAT IS PLANNING?

### PLANNING IS:

- . . . A LEARNING PROCESS
- . . . DEVELOPING A SHARED VISION
- . . . A COMMUNICATION PROCESS

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PLANNING IS THE "FUTURITY" OF TODAY'S DECISIONS.

-DRUCKER-

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ALL IMPORTANT DISTINCTIONS ARE UNCLEAR.

-BOULDING-

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## Characteristics of Planning at the University of Minnesota

Planning at the University of Minnesota is best understood when it is viewed as an evolving, organizational change process. Each step in this process builds on the successes and attempts to overcome the weaknesses of the previous step. This process is characterized by the following important features:

- Planning is viewed as a line function and an important aspect of decision making by all line officers rather than an enterprise separate from routine decision making.
- Planning is not based on any pretended ability to predict the future but is a continuous process of making day-to-day decisions in the light of their probable impact on the future.
- Planning uses a variety of data bases but is not driven by any one set of data or singular piece of analysis.
- Planning must be done against a set of reasonable resource constraint assumptions.
- Faculty in the academic departments are the primary architects of collegiate and curriculum planning.
- Resource acquisition and allocation are important and integral components of planning. The same line and staff personnel are involved in both planning and budgeting.
- A complete cycle of planning consists of many discrete tasks rather than the production of one "master plan" for the entire institution.
- Planning is decision making.
- Planning facilitates communication, education, and socialization of all the participants.

The Evolution of Planning  
at the University of Minnesota

Initiation of Planning  
1979-1982  
Cycle I

- Mission, Goals and Objectives
- College Viewed as Planning Unit
- Planning Criteria Developed
  - Quality
  - Uniqueness
  - Connectedness
  - Integration
  - Demand
  - Cost Effectiveness
- Program Priorities Developed
  - Funds Reallocated from Lower to Higher Priority Programs
- Major Actions Taken
  - High Priority Units Designated:
    - I.T.
    - Management
    - Public Health
    - Veterinary Medicine
  - School of Library Science Phased Out
  - UMD Department of Geography Eliminated
  - Schools of Social Work/Development Combined
  - Ninety-six Programs Designated for Elimination, Reduction, Reorganization

Example of Impact of Program Priorities

Institute of Technology:

- From FY83 to FY84, percent of base increased from 5.77% to 6.24%.
- Received 28% of Special Market and Retention Funds in FY84.
- Received 42% of funds allocated on a non-recurring basis for FY84.
- This occurred during a period of fiscal crisis in the state.

Thematic Planning  
1982-84  
Cycle II

- Six All-University Task Forces
  - Economy of the State
  - Student Experience
  - Computation, Communication, and Information Systems
  - International Character
  - Graduate Education
  - Faculty Vitality
  
- Task Force Changes Lead to Significant Changes
  - Commitment to Focusing on High Quality Baccalaureate and Graduate Programs
  - Emphasis on Interactive Learning - Undergraduate Research Program
  - Coordination of Information Systems Policy
  
- Specification of Reallocation Targets
  - Over \$8.1 Million Moved from Lower to Higher Priority Needs
  
- Funding of University Priorities
  - Salary Retention Funds Augmented
  - Instructional and Research Computing Increased
  - Recruiting High Ability Students Emphasized
  - Undergraduate Education Emphasized Through Augmentation of Special Sabbaticals

Strategies for Quality  
1984-85  
Cycle III

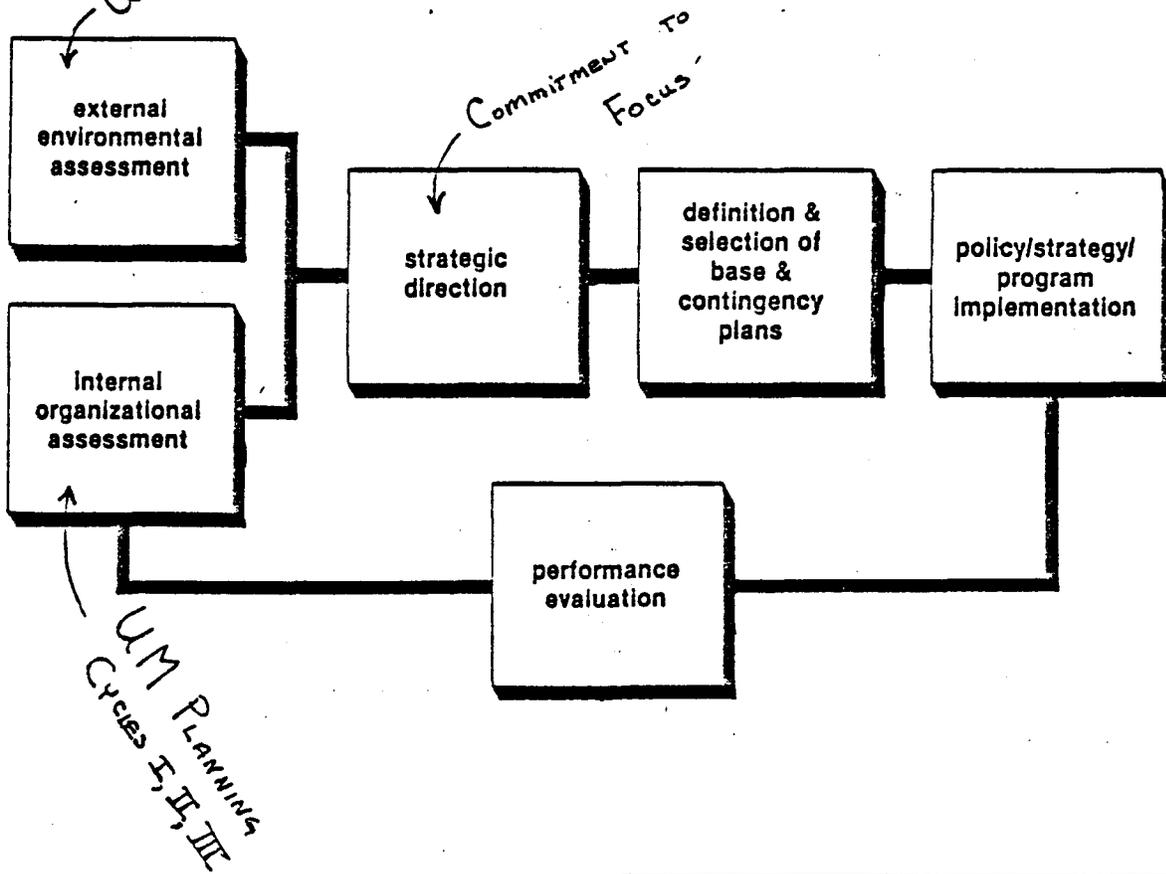
- Focus on Strategies for Accomplishing Program Priorities
- Continuation of Reallocation Based on Budget Targets
- Building on Task Force Recommendations
- Improved Linkage Between Program Plans and Capital Requests
- Based on Existing Criteria for Program Choice
- In Anticipation of North Central Accreditation for Twin Cities Campus and Cycle IV of Planning

Commitment to Focus  
1985-87  
Cycle IV

- Fundamental Reexamination of Program Priorities
- Built on a Commitment to Focus
- Objective of Moving University into Top Five Public Institutions
- Leverage of Permanent University Fund
- Systematic Incorporation of External Trends
- Aimed at 1987-89 Legislative Request

strategic process

## the strategic process



Taken from the Foresight Task Force Report

# SOCIETY IS UNDERGOING A FUNDAMENTAL RESTRUCTURING

## SELECTED POINTS OF VIEW

### NAISBITT - MEGATRENDS

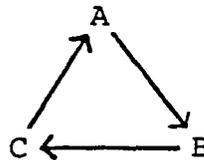
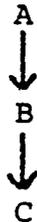
Manufacturing industry	→	Information sector
Technology	→	High tech/high touch
Economic independence	→	Interdependence
Short term	→	Long term
Centralized	→	Decentralized
Institutional dependence	→	Self-reliance
Organizational voice	→	Individual voice
Hierarchies	→	Networks
Northern dominance	→	South/west shift
Single option	→	Multiple choice

### HAWKEN - NEXT ECONOMY

Mass economy	→	Informative economy
Quantity	→	Quality
Immediate gain	→	Longer term "intelligence"

### OGILVY - SEVEN TOMORROWS

Hierarchy → Heterarchy



### TOFFLER - THIRD WAVE

Agriculture → Industry → Information

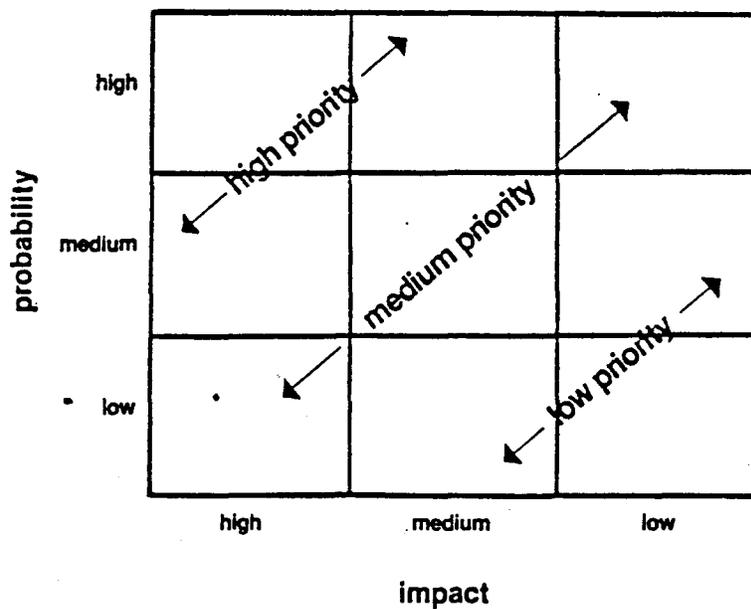
FOUR TYPICAL ORGANIZATIONAL RESPONSES  
TO CHANGE

- WE'RE IN A RECESSION BUT COMING BACK
- MUCH CHANGE GOING ON BUT IT DOES NOT AFFECT US
- NEED TO BE MORE EFFICIENT . . . FASTER, CHEAPER, BETTER
- THEY DON'T UNDERSTAND US

- from Mike Annison  
Naisbitt Group

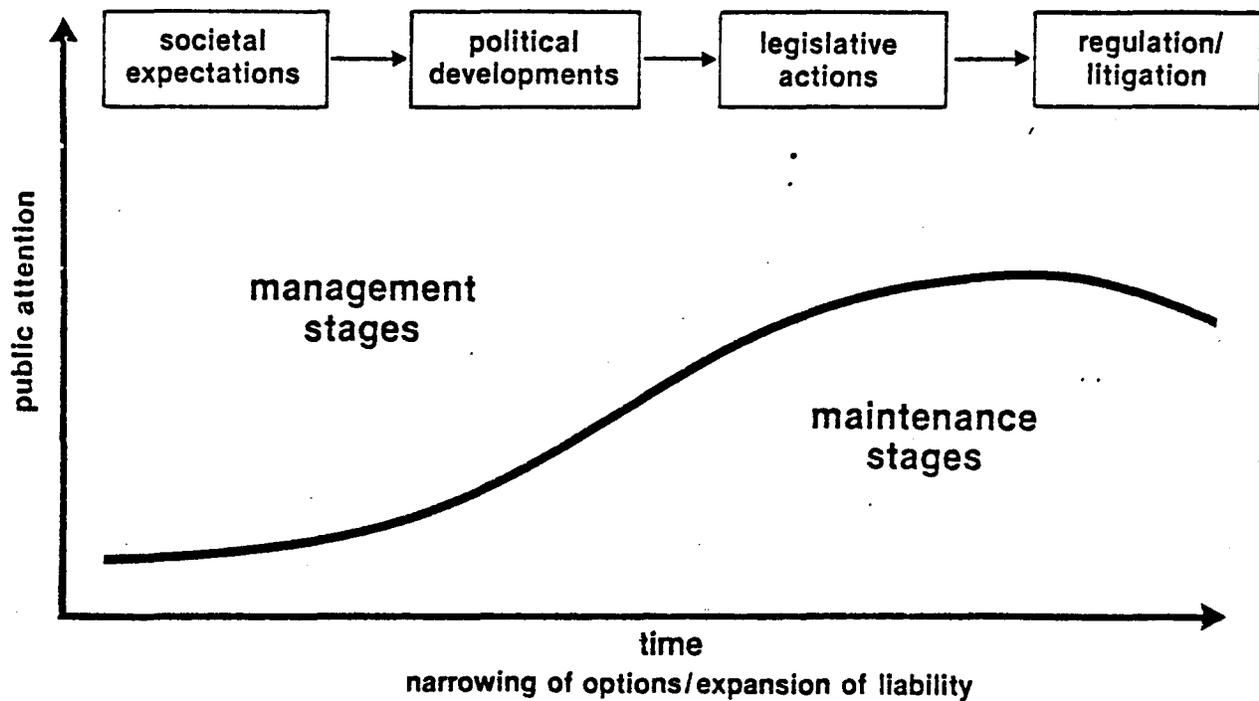
FUNDAMENTAL SHIFTS RESULT IN A PERIOD OF UNHERALDED OPPORTUNITY

### issues priority matrix



Taken from the Foresight Task Force Report

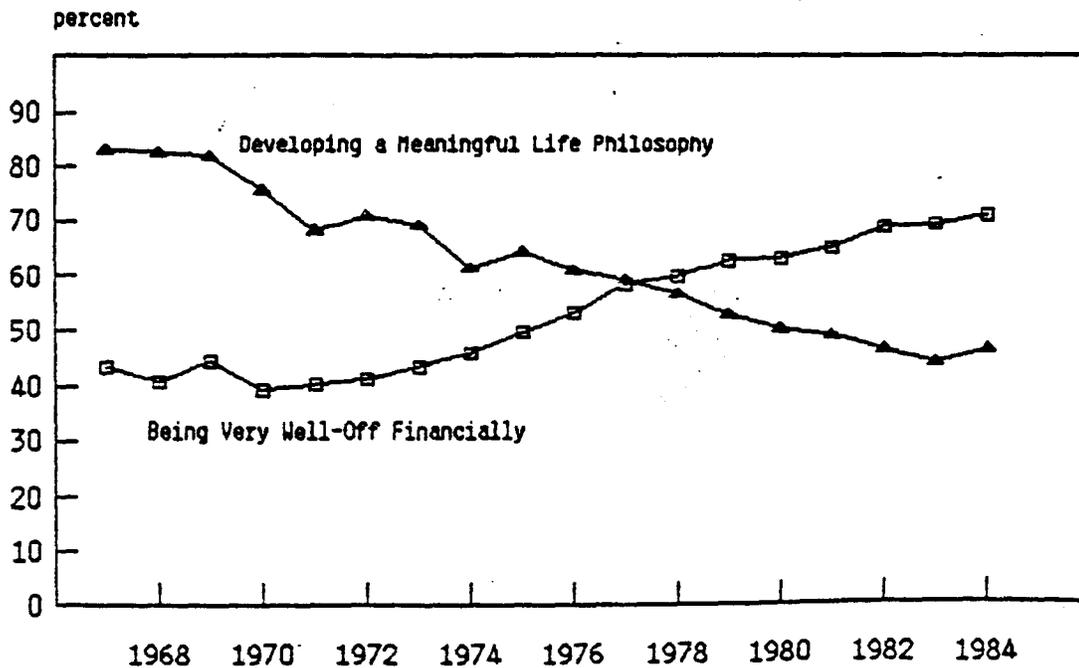
## life cycle of a strategic issue



Taken from the Foresight Task Force Report

Movement in values towards material concerns and financial values an all-time high.

### Trends in Student Objectives, 1967-1984



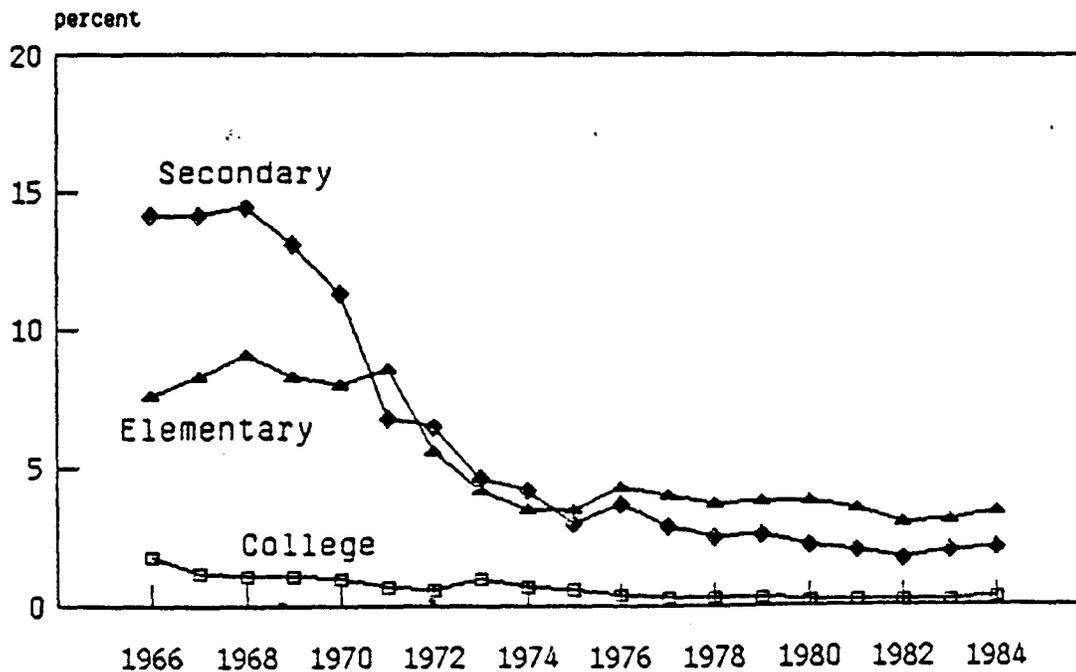
**Source:** Astin, Alexander W., Kenneth C. Green, William S. Kern, and Mary Jane Maier. The American Freshman: National Norms for Fall, 1984. Cooperative Institutional Research Program, American Council on Education, University of California at Los Angeles, Graduate School of Education, December 1984, p. 2-4.

#### Possible Impact on UM Planning:

- Increased interest in business careers.
- Decreased interest in humanities and liberal arts courses.

End to decline in interest in education.

Freshman Interest in Education Careers, 1966-1984

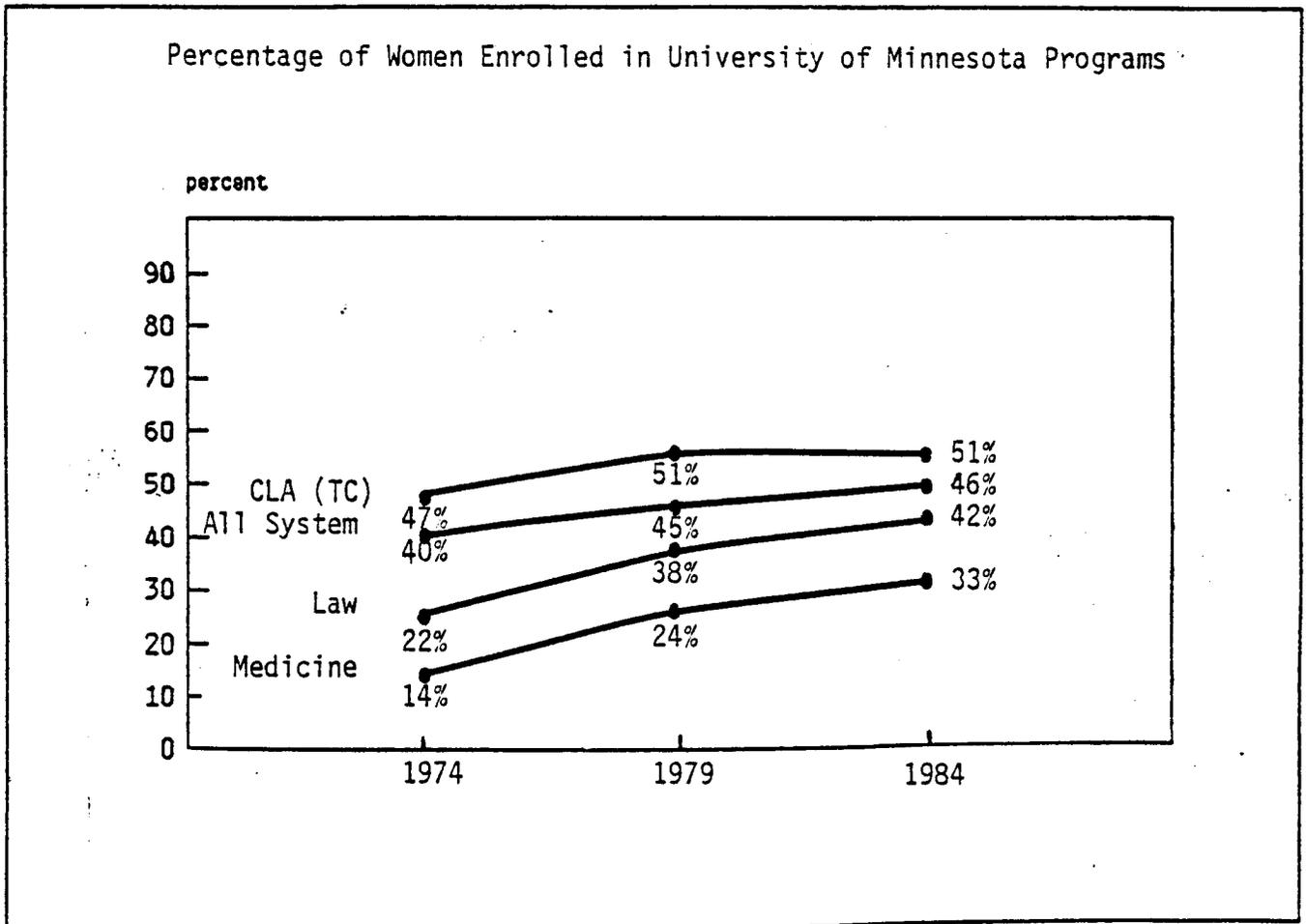


**Source:** Astin, Alexander W., Kenneth C. Green, William S. Kern, and Mary Jane Maier. The American Freshman: National Norms for Fall, 1984. Cooperative Institutional Research Program, American Council on Education, University of California at Los Angeles, Graduate School of Education, December 1984, p. 6.

**Possible Impact on UM Planning:**

- May affect enrollments in education programs.
- Special efforts might be taken to encourage major in areas of anticipated teacher shortages: elementary education, mathematics, and science.

## New students in University programs.

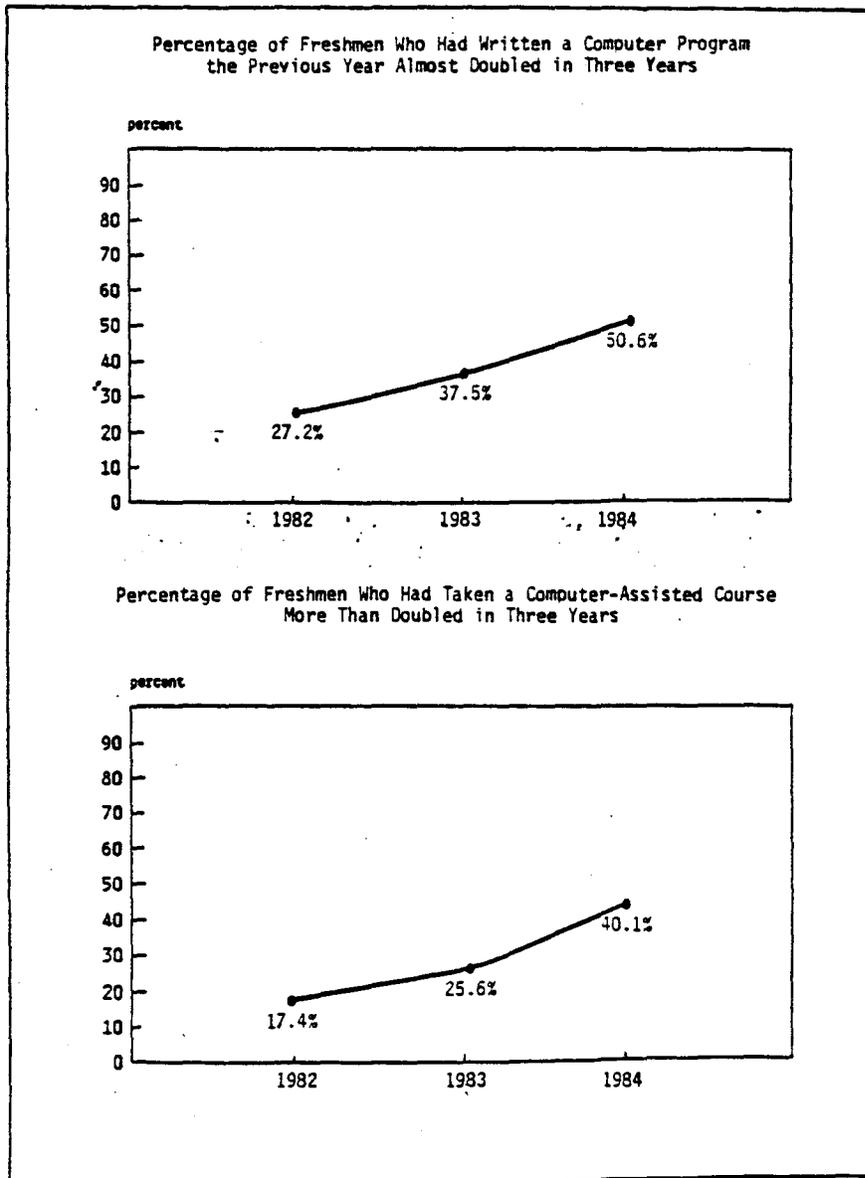


Source: Official University of Minnesota Registration Statistics, Fall Quarter 1974, 1979, 1984.

### Possible Impact on UM Planning:

- Access broadened.
- Percentage of change most notable in Law and Medicine.

## Evidence of computer revolution.



**Source:** Astin, Alexander W., Kenneth C. Green, William S. Kern, and Mary Jane Maier. The American Freshman: National Norms for Fall, 1984. Cooperative Institutional Research Program, American Council on Education, University of California at Los Angeles, Graduate School of Education, December 1984, p. 5.

### Possible Impact on IM Planning:

- Students will expect access to computation.
- Students may select a college on how well it responds to this interest.

**Sample of Institutions Contacting The  
University of Minnesota About Planning**

Cornell University	U.S. International University
University of Idaho	Morton College
Trinity University	University of Northern Iowa
North Carolina State University	Iona College
Bowling Green State University	Rogers State College
Hinds Junior College	Southern Utah State College
GMI: Engineering & Management Institute	School for International Training
West Virginia University	Gannon University
Rocky Mountain College	University of Southern Maine
Anne Arundel Community College	Furman University
Berry College	College of Saint Benedict
Duke University	State University of New York
Capital University Without Walls	Gonzaga University
Indiana University	Rockingham Community College
Milligan College	University of Houston
Eastern Michigan University	University of Florida
Trident Technical College	Jefferson Technical College
Montana State University	Saint Olaf College
Marygrove College	Stephens College
Qatonsville Community College	Portland Community College
Texas College & University System	University of Tennessee
Oregon Health Sciences University	North Central Technical College
Phoenix College	Tarkio College
Bethany College	Brown University
Northwest Missouri State University	University of Wyoming
Trinity Western College, Canada	Amarillo College
University of Kansas	Pacific Christian College
East-West Center	Mennonite Board of Education
Associate Colleges of Twin Cities	University of Utah
Community College of Philadelphia	Miami University
Institute for Educational Leadership	Pennsylvania State University
Grand Valley State College	Westminster College
University of Washington	Eastern Michigan University
Temple University	New School for Social Research
Eastern Michigan University	University of Nebraska
University of Massachusetts	University of Colorado
Mercer University	Iowa Regents Universities
University of Maryland	Metropolitan Community Colleges
Columbia University	University of California
Northern Arizona University	University of New Haven
University of Pittsburgh	Illinois Board of Regents

CYCLE III OF PLANNING  
1984-85  
To Guide the 1985-87 Biennium

- Focus on strategies for improving quality for 1985-86.
- Strategies are to grow out of the unit's program priorities and the task force reports.
- Existing criteria of:

Quality	Connectedness
Uniqueness	Integration
Demand	Cost Effectiveness

- Units are to indicate the particular strategies they will follow to implement the program priorities previously laid out for 1985-86 and beyond.
- Units are to develop strategies based on six questions:

Across the next two years, what strategies or specific activities will your unit pursue ...

- 1) to build the program areas deemed most important, as determined by the six criteria?
- 2) to deal with the issues of faculty vitality?
- 3) to identify, attract, and provide appropriate learning for high achievement undergraduates while continuing our commitment to minorities and the handicapped?
- 4) to improve the educational experience for all students?
- 5) to maintain or improve the quality of our graduate programs?
- 6) to respond creatively to the needs of the State in ways consistent with the University's strengths and mission?

- Funding for these strategies in nearly all cases is expected to be from internal reallocation. In those few cases where priority is consistent with all-University priorities and cannot be met from internal reallocation, central administration will entertain requests for additional funds.
- Units demonstrating use of internal funds to accomplish program priorities will receive first priority.

**CYCLE IV OF PLANNING  
1985-86  
To Guide the 1987-89 Biennium**

- Comprehensive examination of each unit's mission in light of the University's commitment to focus.
- Development and refinement of program priorities.
- Systematic inclusion of trends external to the University.
- Time frame:

June 1985 - June 1986

Leading up to the preparation of the 1987-89  
Biennial Request

02/07/85  
RBH/jb



UNIVERSITY OF MINNESOTA  
TWIN CITIES

Office of the Dean  
Medical School  
Box 293 Mayo Memorial Building  
420 Delaware Street S.E.  
Minneapolis, Minnesota 55455

(612) 373-4570  
Office at 3-120 Owre Hall

January 28, 1985

Professor John Sullivan, Chairman  
Senate Committee on Research  
1414 Social Sciences Building

Dear Professor Sullivan:

Re: Procedures in Cases of Alleged Fraud

The Medical School follows a procedure of inquiry regarding allegations of fraud in research which is based upon the guidelines of the Association of American Medical Colleges (enclosed). The process assures reasonable and appropriate procedures for the accused and the accuser and also provides a mechanism which assesses the validity of the review process itself. It has been utilized very effectively and to the satisfaction of all parties, including granting agencies. It leaves the responsibility within the collegiate academic unit which is best qualified to implement and assess the process and the conclusions.

I agree entirely with what you referred to as "The Stanford System." It is what we are using and have adopted as the Medical School's procedure. The investigation is performed by the faculty, who advises the Dean and makes a recommendation. The course of action, of course, depends heavily upon the individual case. After a conclusion is reached following the investigation, the academic unit makes a recommendation to the President of the University. I would not favor another system. I have served both as a member of the Association of American Medical Colleges Ad Hoc Committee on Research Fraud which developed the enclosed guidelines and as an advisor to another university on this matter. I have found the process satisfactory as applied to the University of Minnesota Medical School.

Sincerely,

David M. Brown, M.D.  
Dean  
Professor, Laboratory Medicine  
and Pathology and Pediatrics

DMB/mh

Encl.



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TWIN CITIES

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Box 293 Mayo Memorial Building  
420 Delaware Street S.E.  
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February 20, 1985

(612) 373-4570  
Office at 3-120 Owre Hall

M E M O R A N D U M

To: Professor John Sullivan  
From: David M. Brown, Dean *DMB*  
Subject: Issues/Procedures Regarding Alleged Fraud

I must express strong disagreement with the procedures outlined in the February 15, 1985, document of recommended procedures dealing with alleged fraud. The process immediately invokes the issue of grievance rather than first identifying a process for determining whether there is sufficient evidence to warrant a more thorough investigation. Furthermore, there is insufficient assurance of protection of the person requesting the inquiry. There is also inadequate consideration of notification of agencies as to the issue under investigation. In addition, the Dean of the College should determine who must be involved with either the initial or a more thorough inquiry. The dean has the responsibility for the conduct of all inquiries of alleged fraud within a collegiate unit. I do not agree with delegating those inquiries to a grievance committee within the Medical School.

The faculty grievance process may be invoked upon the discretion of the individual who may be judged to have committed fraud in relation to an action recommended by the Dean after the final investigation and after recommendations have been made by the College.

I do not find that the processes outlined in the February 15, 1985, document are in accord with the recommendations made by the Association of American Medical Colleges (AAMC) in 1982. The Medical School has found this document useful and appropriate in conducting inquiries into allegations of fraud in research. Acting as a consultant, I have also found these guidelines useful in the conduct of an investigation of alleged (and, finally, proven) fraud in research at another institution.

The Medical School will rely upon the AAMC guidelines for its inquiries, and we had hoped that the University would adopt similar procedures. These are widely applicable to investigations of fraud in any academic setting.

I hope to be able to discuss these matters with the Senate Committee on Research at the February 21 meeting. Thank you for your kind consideration.

DMB/mh

Encl.

HEALTH SCIENCES

persons who presented evidence of fraud; and that the decision was not arbitrary or capricious, but based on credible evidence. If institutional policies and procedures meet these criteria the courts are unlikely to interfere with the institutional decision.

The following guidelines and procedures for dealing with allegations of fraud are offered as a prototype to assist schools in designing a process appropriate to their own situations. Consultations with university counsel in such an effort are strongly recommended. It is recognized that in these procedures a faculty member's reputation is put at risk during the investigation. This is justified since scientists on the university faculty occupy a special place of privilege and responsibility and must be held to a higher standard of conduct. The procedures indeed must be fair to the individuals involved. They must also be designed to be responsive to the special responsibility that science and faculty have to society.

### **Prototype of Procedures for Dealing with Alleged Research Fraud**

#### **A. Processing Initial Reports of Fraud**

- From the outset, institutions should protect rights and reputations for all parties involved including the individual(s) who report perceived misconduct in good faith.
- Initial reports of alleged fraud should be brought to the attention of the faculty member responsible for the individual whose actions are in question. That person should in turn report the allegations to the department chairperson immediately.
- If the initial report of misconduct is not regarded as blatantly frivolous in nature, the report should promptly be referred to the dean or the chief executive officer of the institution. The dean should in turn immediately initiate a review by individuals at the institution who have been designated to review initial reports of fraud. Such individuals should be selected from among the faculty and administration. Care should be taken to exclude those with personal responsibility for the research under investigation.

- After this made as to investigation basis for pu question sh collaborator investigatio

#### **B. Investigation o**

- Institutions point imme unit to conc the reporter involving o at this stag
- The sponso an investiga
- During the to the review involved.
- The investig whether the
- Throughout collaborator misconduct progress of tunity to re

#### **C. Subsequent Act**

1. If the alleg investigation
  - The spo findings tution sh

- After this initial review, a determination should be made as to whether the report warrants more thorough investigation. If it is determined that there is sufficient basis for pursuing the allegations, the researcher(s) in question should be advised of the allegations and any collaborators should be informed of the pending investigation.

#### B. Investigation of Reported Fraud that Appears Substantial

- Institutions should have in place or be prepared to appoint immediately a committee or other administrative unit to conduct a prompt and thorough investigation of the reported fraud and should consider the merits of involving outside, objective parties in the investigation at this stage.
- \* \* ● The sponsoring agency should be notified that there is an investigation underway.
- During the investigation, consideration should be given to the review of all research with which the individual is involved.
- The investigating committee or unit should determine whether there was fabrication or dishonesty.
- Throughout the investigation, the individual and any collaborators or supervisors whose role in the alleged misconduct is questionable should be advised of the progress of the investigation and be afforded the opportunity to respond and provide additional information.

#### C. Subsequent Action Following Completed Investigation

1. If the alleged fraud is substantiated by a thorough investigation the following actions are recommended:
  - The sponsoring agency should be notified of the findings of the investigation and appropriate restitution should be made.

- All pending abstracts and papers emanating from the fraudulent research should be withdrawn and editors of journals in which previous abstracts and papers appeared should be notified.
  - Institutions and sponsoring agencies with which the individual has been affiliated should be notified if there is reason to believe that the validity of previous research might be questionable.
  - Appropriate action should be taken to terminate or alter the status of faculty members whose misconduct is substantiated.
  - Institutional administrators should consider, in consultation with legal counsel, release of information about the incident to the public press, particularly when public funds were used in supporting the fraudulent research.
2. If the alleged fraud is not substantiated by a thorough investigation, formal efforts should be undertaken to restore fully the reputation of the researcher and others under investigation. In addition, appropriate action should be taken against any parties whose involvement in leveling unfounded charges was demonstrated to have been malicious or intentionally dishonest.
  3. Subsequent to the completion of an investigation, faculty practices and institutional policies and procedures for promoting the ethical conduct of research and investigating allegations of misconduct should be scrutinized and modified in light of the experience gained.

### Conclusion

The foregoing are offered as guidelines around which faculties and their institutions can develop processes for promoting ethical standards in research and in dealing with misconduct and fraud. It must be emphasized that developing an appropriate process for detecting and responding to alleged fraud is sensitive and

complex. Implement not require the de bureaucracy. Simple exist and to suggest in achieving a balance research effort and p