

Please note. The following is an official part of the docket for the meeting of the University Senate, Thursday, November 30, 1972. It is printed at this time to permit study and hearings prior to the meeting. **Please save this copy. This portion of the docket will be printed this time only.**

At its meeting of November 30 the University Senate will be asked to approve a policy regarding the use of human subjects in scientific research. The proposed policy was initially offered to the Senate in May. The policy was debated and extensively amended at that meeting, but the meeting was adjourned without action on the policy. To insure the widest discussion of the policy in preparation for the meeting of November 30 the University Committee on the Use of Human Subjects in Investigation has scheduled an open hearing to be held Tuesday, November 14 from 2:30 to 5:30 in the Murphy Hall Auditorium. It is the Committee's hope that all interested persons will study the proposed policy and present any suggestions for amending it at the open hearing. The complete text of the policy is reprinted below.

H. E. Mason, Chairman
University Committee on the Use
of Human Subjects in Investigation

**REPORT OF THE SENATE COMMITTEE
ON RESEARCH**

Reported for Action

The Senate Committee on Research recommends approval of the following report of the University Committee on the Use of Human Subjects in Investigation.

**PROPOSED STANDARDS AND PROCEDURES
RELATED TO THE USE OF HUMAN SUBJECTS
IN RESEARCH, MEDICAL AND SOCIAL
OUTLINE**

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INTRODUCTION

The following document is composed of four parts: (1) A statement of policy (2) The general principles to be used to guide the review, evaluation, and approval of research using human subjects (health, biological, behavioral, and social research), and then summarizes the procedure (3) The third part presents a procedure for providing systematic review, by investigators and/or review committees, of all research using human subjects. (4) The fourth part discusses a procedure and a timetable for implementing the new standards and review procedure.

PART I

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

This statement of Policy is submitted for approval to the University Senate through the Senate Committee on Research and for recommendation to the Regents for adoption to replace the present Statement of Policy and Procedures as adopted in November, 1966.

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

1. To safeguard 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, and
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 prior collegial review of all research involving human subjects (see Part III for a definition of these terms) carried on in the University or under its auspices through a University Human Research Committee 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, which 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, and
 - c. The risks 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; and
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 PROCEDURE**

1. All subjects of research must have given informed consent to their participation in any research project unless securing such consent is inconsistent with the purpose and feasible conduct of such research project and it is reasonable to conclude that a subject would have no objection to his participation. All exceptions to the requirement of informed consent must be approved by an appropriate review committee.
2. It is expected that investigators will design research procedures in such a way that they do not involve:
 - a. The exposure of subjects to a physical or psychological risk that is appreciably greater than we normally take in the conduct of our affairs;
 - b. The disclosure of confidential information.

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.

3. For purposes of review, research projects will be divided into two categories:
 - a. 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.
 - b. 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 Human Research Committee as satisfying the purposes of Principles 1 and 2.
4. It is expected that for projects of the first type, interested investigators will develop a series of general protocols covering specific research designs. Once these protocols are approved by an appropriate ethical review committee, individual projects that fall within the scope of a protocol will not require individual review. Investigators will file a description of the project and a list of the relevant protocols with the appropriate review committee.
5. Projects that do not fall within the scope of approved protocols must be submitted for individual prior review and approved before the research is instituted.

Such a research project will normally be evaluated with regard only to the rights and welfare of subjects of the research. The scientific importance or potential benefits of the research will not be considered unless the research procedure involves normally proscribed risks to a subject or makes informed consent impracticable. In such a case the overriding importance of a piece of research may justify exceptions to the normal restrictions. But to justify these exceptions it will not be sufficient merely to weigh the potential benefits and importance of the research against the risks to the subject's rights and welfare. A review committee should also consider whether it is reasonable to think that a subject himself would find the risks justified in light of the importance or potential benefits of the research. In such a case evidence from representatives of the population is desirable.

PART III

PROCEDURE FOR IMPLEMENTATION OF POLICY

A. SCOPE OF ACTIVITIES TO BE COVERED BY PROCEDURE

1. The phrases "research involving human subjects" and "procedures involving human subjects" and "research projects involving the use of 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 physical or psychological reaction of 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;
2. "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" include:
- 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 to or 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 this 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 procedure. 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 Human 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 purposes 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 of 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 of research protocols. First, two types of committees will be described—the University-wide Committee on the Use of Human Subjects and the four Review Subcommittees (two each for biological and health sciences, and social and behavioral sciences). Second, there will be a discussion of procedure by which the research protocols will be instituted.

1. Administrative Structure: University-Wide Committee on the Use of Human Subjects in Research

a. Composition

The Human Research Committee shall consist of at least forty-two members drawn from the faculty, staff and student-body of the University and specifically falling within the following five categories:

- 1) At least twelve (12) members from the health sciences and biological sciences,
 - a) Ten (10) of whom shall be drawn from the faculty and staff of the units of the University dealing with health sciences, and
 - b) Two (2) of whom shall be students in these units of the University, one an undergraduate and one a graduate or professional student;
- 2) At least twelve (12) members from the social and behavioral sciences,
 - a) Ten (10) of whom shall be drawn from the faculty and staff of the units of the University dealing with social and behavioral sciences, and
 - b) Two (2) of whom shall be students in these units of the University, one an undergraduate and one a graduate student;
- 3) Two (2) members from the University Hospitals Administration;
- 4) At least four (4) members from the Law School; and
- 5) At least twelve (12) members from other units of the University.
 - a) Eight (8) of whom shall be faculty members, and
 - b) Four (4) of whom shall be students.

In the event that the size of the committee should be expanded to more than forty-four members, the proportions of members from each of the above categories should remain the same.

Figure I
Structure of University-Wide Committee

Members from Biological and Health Sciences	Members from The Social & Behavioral Sciences	Members not from Biological Health, Social or Behavioral Sciences	Members from University Hospitals Administration	Total
Faculty Total ..10	Total10	Total12	Total2	34
		Law School4		
		Others8		
Students: Grad .1	Grad1	Grad2		8
UG.....1	UG1	UG2	TOTAL	MEMBERSHIP 42

b. Selection of Members

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. The representatives shall be drawn from units or departments chosen by the Senate Committee on Research. These members shall serve for staggered two-year terms and must be approved by a majority vote of the units or departments represented. The remaining members of this committee shall be appointed in accordance with the Constitution of the University Senate, Article IV, Section 4, and the Rules and Operational Procedures of the Senate, U1.3902.2 and U1.302.3.

1) Terms

The terms of membership on this committee shall be in accordance with the Rules and Operational Procedures of the University Senate, U1.302.3.

2) Official Positions on the Committee

The chairman shall be elected from the appointed members by a two-thirds vote of the committee and shall serve for a period of two years.

3) All meetings shall be held in accordance with Robert's Rules of Order.

c. Duties and Responsibilities

1) Administration of Policy

The Human Research Committee shall perform the function of prior collegial review of proposed research involving human subjects (as defined in the Statement of Policy of the University of Minnesota With Regard to the Use of Human Subjects in Scientific Research, adopted and approved by the University Senate on _____ and the Regents of the University on _____), and of continuing supervision and advice with respect to approved projects of research involving human subjects, to assure the fullest protection of the rights and welfare of such subjects.

2) Formulation of Policy

The University-Wide Committee 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, 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) Reporting to the Senate

The Human Research Committee shall report to the Senate through the Senate Committee on Research in accordance with the Rules and Organizational Procedures of the Senate, U1.302.5.

2. Review Subcommittees

a. Function

The University-Wide Committee shall perform its functions of prior collegial review through subcommittees except where request is specifically made for full committee consideration of a problem. Subcommittees shall review and make recommendations to the University-Wide Committee on all research protocols submitted for approval. The subcommittees shall also review all individual proposals within the committee's domain, acting within one month of submission.

b. Composition

The membership of the University-Wide Committee shall be divided into four subcommittees, as shown in Figure 2. The actual assignment of individuals to subcommittees will be changed every year and approved by a majority vote of the University-Wide Committee. Any member of the subcommittee may arrange for a substitute for himself for any meeting of the subcommittee provided the substitute is a member of the University-Wide Committee, presumably from the same classification. The University-Wide Committee may elect to activate fewer than the four subcommittees, if the volume of work does not justify four subcommittees. However, at least one subcommittee must be active in each specialty at all times.

c. The chairman shall be elected from the subcommittee membership and approved by a two-thirds vote of the subcommittee membership.

3. Executive Secretary of the University-Wide Committee

a. There shall be an Executive Secretary of the University-Wide Committee who will handle the administrative work of the committee; schedule meetings of the committee and its subcommittees; call meetings; and maintain adequate records for the committee and subcommittee meetings—including formal requests for approval of research projects, minutes of all committee and subcommittee meetings, and the formal decisions of the committee and its subcommittees, 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.

b. The Executive Secretary shall not be a voting member of the committee or of

its subcommittees but shall be entitled to attend any committee meetings or subcommittee meetings.

- c. The Executive Secretary shall be appointed by the President with the approval of the University Senate for a three year term, subject to reappointment for successive terms.

4. 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

Figure 2
Structure of Subcommittees

	Health and Biological Sciences Subcom. I	Behavioral and Social Sciences Subcom. I	Behavioral and Social Sciences Subcom. II	Health and Biological Sciences Subcom. II
Biological and Health Sciences				
Faculty	4	4	1	1
Grad. St.	1			
UG. St.		1		
Behavioral and Social Sciences				
Faculty	1	1	4	4
Grad. St.			1	
UG. St.				1
NOT Biological, Health, Social, or Behavioral Science				
Law School	1	1	1	1
Other Fac.	2	2	2	2
Grad. St.		1		1
UG. St.	1		1	
Totals:				
Faculty	8	8	8	8
Grad. St.	1	1	1	1
UG. St.	1	1	1	1
Total Members	10	10	10	10

description. Approved research protocols are to be cited by an investigator filing for summary approval of a proposed research project.

a. Content

A 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 devices 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 Protocols

Protocol proposals are to be submitted to an appropriate review subcommittee where, upon approval by a two-thirds vote of the committee, they are to be submitted to the University Human Research Committee for final approval. Final approval requires a majority vote of the University-Wide Human Research Committee.

All protocols must be reviewed and approved every five years to remain active. Review of protocols will be initiated by the Executive Secretary of the Human Research Committee.

Any member of the Human Research Committee may request a review of any protocol at any time. Upon a majority vote of the Committee, a complete review of the protocol shall be initiated. Until the review is completed, it shall stand as an approved protocol, unless the committee votes that no new research be approved under this protocol until the issue is resolved.

c. Protocol Handbook

It shall be the duty of the Executive Secretary to maintain a current "Protocol Handbook" listing all of the approved protocols.

C. ACTIVITIES WITHIN THE PROPOSED STRUCTURE

1. Conduct of Research that Falls Within the Scope of an Approved Protocol

It is assumed that investigators will develop research projects on the basis of scientific merit, and before conducting research with human subjects, consult the "Protocol Handbook" to determine whether or not his research procedure falls within the scope of one or more of the existing protocols.

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 protocols that cover the research procedure. The investigator will be allowed to conduct the research immediately after filing the form with the Executive Secretary. (See Appendix A, Example Form I.)

(Annually, approximately ten percent of the projects filed under a given protocol will be reviewed for compliance.)

In the event that the investigator finds that his research procedure is not included within the scope of an existing protocol but does fall 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 committee, 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 both the Review Subcommittee and the University-Wide Committee, a number of procedural variations to be utilized in 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 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 review of any research project even if a protocol exists.

2. Prior Review of Non-protocol Research

If an investigator wishes to study a problem in such a way that the research procedure does not fall within the scope of an approved research protocol, listed in the "Protocol Handbook," he will be expected to present a description of his research procedure and the justification for the research to the appropriate Review Subcommittee. The Review Subcommittee will be expected 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 protocol without consideration of the purpose of justification for the research, considering only the risks to the subjects.

If the Review Subcommittee feels that the risks to the rights and welfare of the subjects are greater than that specified in Principles 1 and 2, then the committee will be expected 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. The committee will also be expected to consider whether the subject himself will find the benefits of the research to outweigh any risks.

3. Application for Review and Approval of Non-Protocol Research

In order to obtain approval, the investigator or investigators who wish to undertake scientific research involving human subjects shall prepare and have forwarded to the Executive Secretary 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, and
- 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.

c. The Executive Secretary will assign the application to the appropriate subcommittee. Research dealing with both health science phenomenon and social science phenomenon should be reviewed by subcommittees representing both areas of research.

d. The Review subcommittee will be expected to conduct an initial evaluation of any research proposal within one month of its submission to the Executive Secretary.

e. Following its review of the projected research, the subcommittee shall determine whether the proposed research project will be approved with or without modification or disapproved. The determination of the subcommittee shall be by a majority vote of the subcommittee membership, but with opportunity for a formal recording of an expression of minority views by any members who disagree with the determinations or recommendations made, at their request.

f. The formal action of the subcommittee shall be reported to the Executive Secretary of the Committee, and by him to all members of the committee and to the investigator.

4. Appeals of Subcommittee Decisions

Any investigator may appeal a decision of a Review Subcommittee to the University-Wide Committee. Any two members of a reviewing subcommittee may request review of a decision by the University-Wide Committee. In such cases, the University-Wide Committee is obligated to provide a complete review of the issues and come to a decision within one month of receipt of requests for review by the Executive Secretary. Ad hoc subcommittees may be appointed when considered appropriate, but no member of the original review committee should serve on such subcommittees. The investigator may present in person to the Committee information he believes relevant. Notice of action by the University-Wide Committee shall be sent by the Executive Secretary to the Investigator and to each committee member.

Action taken by the full University-Wide Committee, 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 the faculty or staff of 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 the principles of academic freedom, and if the Committee on Faculty Affairs finds that the circumstances involved in the action of the Human Research Committee involve an infringement of the Principles of academic freedom, it may direct the Human Research Committee to re-examine the proposal and to reconsider its action.

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 on the principles of student academic freedom, and it may direct the Human Research Committee to re-examine the proposal and reconsider its action.

5. Complaints Against Investigators

All complaints related to the conduct of research with human subjects shall be brought to the attention of the University-Wide Committee. The committee shall consider each complaint and if the committee decides, by majority vote, that the complaint merits investigation, then the complaint shall receive the attention of a full investigation.

For each investigation, an ad hoc subcommittee of not less than three members, of whom the majority will be faculty members, shall be appointed by the chairman and approved by a majority vote of the University-Wide Committee. The ad hoc investigating subcommittee should have access to the resources necessary to conduct a complete investigation, be composed of individuals with the technical competence to understand relevant scientific issues and should be able to draw on the competence of non-committee members in conducting its investigation.

Upon completion of the investigation, the ad hoc investigation subcommittee should report its findings to the full University-Wide Committee.

In the event that the University-Wide Committee, by majority vote, determines that the investigator has committed an unethical act and exposed human subjects to risks greater than those in Principles 1 and 2 without prior approval of the review subcommittee representing the University-Wide Committee on the Use of Human Subjects in Research, then appropriate sanctions are to be developed as discussed in the following section.

6. Sanctions for Investigators

In the event that the University-Wide Committee determines, by majority vote, that an investigator is guilty of unethical conduct in the use of human subjects in research, a new ad hoc committee, composed of at least three faculty members of the University-Wide Committee, excluding the chairman, students and members of the ad hoc investigating committee that investigated this complaint will be formed to determine sanctions appropriate to the infraction. The committee shall consider the circumstances of the infraction, the relation of the investigator to the University, and the nature of the risks to the human subjects in determining the appropriate sanction. Upon the approval of the majority of the University-Wide Committee, a report of the investigation and the recommended sanctions shall be submitted to the President of the University for final disposition.

**PART IV
IMPLEMENTATION OF THE PROCEDURE**

A. TIME SCHEDULE

The most important aspect of the procedure involves the approval of the research protocols. These must be in existence before investigators will know what procedure to follow. The following timetable is recommended:

- Winter Quarter 1973 Submission to the Academic Senate and to the University Board of Regents, if approved by the Academic Senate and the University Board of Regents.
- Spring Quarter 1973 Appointment of the University-Wide Committee and review subcommittees.
- Spring 1973 - Winter 1974 Development of ad hoc committees to submit protocol proposals for approval.
- Spring 1974 Development of "Protocol Handbook" and activation of procedure.

B. DEVELOPMENT OF INITIAL RESEARCH PROTOCOLS

In order to develop a useful "Protocol Handbook" and get the procedure into operation, it is useful to have a set of protocols available at the initiation of the procedure. It is recommended that a series of ad hoc subcommittees be formed among people using similar research procedures to produce protocols to cover the most routine and ordinary research procedures. Once these are produced, the appropriate reviewing subcommittee can evaluate the protocols, combining similar protocols or separating complex protocols into simpler more general protocols when necessary.

In addition to the ad hoc protocol committees, principle investigators of major research projects would be invited to submit protocols that would allow them to vary their research technique without submitting each variation for prior review. Instructors of courses where the emphasis is on the study of research techniques or substantive matter involving human subjects, where human subjects are used in demonstrations, will be expected to submit protocols for approval that cover those procedures used for training students in research techniques.

C. SUBSEQUENT SENATE REVIEW

Senate approval and enforcement of this program of standards and procedures expires December 30, 1974. Before renewal of Senate approval of the standards and procedures, a report of the effects of operation of the program on University research must be presented to the Senate Committee on Faculty Affairs.

D. APPLICATION OF PROCEDURE TO RESEARCH IN PROGRESS AT TIME OF ADOPTION

Investigators conducting research that is in progress at the time the procedure is activated and that would fall within the scope of the proposed standards need not submit their research for approval, using one of the options discussed in Part III, Section C, until six months after the official announcement of the activation of the procedure (see Part IV, Section A).

**APPENDIX A
Example Form I**

**Report of Research Conducted
Using Human Subjects
and an Approved Research Protocol**

Title of Research: Data to be Collected: to
Number of Subjects: Age Range: Location of Data Collection:
How Subjects Selected:
Brief description of research procedure (use back of page if necessary):

Check those protocols that cover this research activity (protocols described more thoroughly in the "Treatment of Human Subjects" handbook):

-1
-2
-3
-4
-5
-6

Individuals collecting or handling data (use back if necessary):
Name Activity University Status

.....
.....
.....

Individual preparing form Date Faculty-staff member Date responsible for project

H. E. MASON
Chairman, Committee
on Use of Human
Subjects in Investigation

In the interest of conserving meeting time, the Steering Committee strongly urges members who have merely technical or textual changes to submit them in writing to the Tenure Committee.

**University of Minnesota
MARCHING BAND**

TWO
CONCERTS

SUNDAY
Nov. 12,
3:00 p.m.

SUNDAY
Nov. 19,
3:00 p.m.

225 Musicians
Public \$2.50 Students \$1.50
105 Northrop and all Dayton's Stores
UNIVERSITY ARTISTS COURSE
NORTHROP AUDITORIUM, UofM



ENDS MON.

I BLACK ORPHEUS
8 pm

II JULES AND JIM
9:45 pm

III GIMME SHELTER
Midnight

Grande Illusion Cinema
416 Cedar
332-9514 331-3927

Carbone's Pizza
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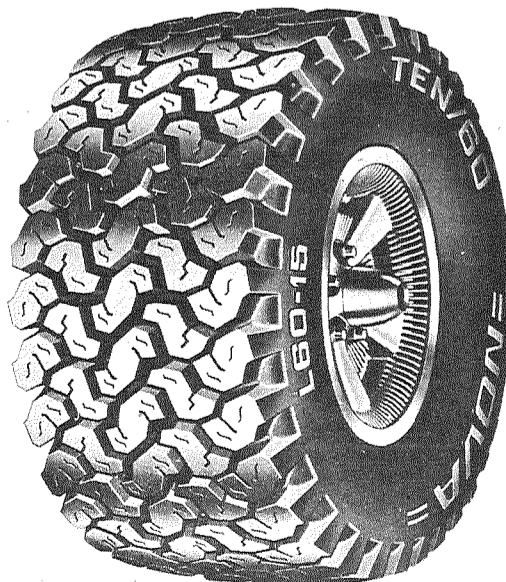
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SENATE MEETING

THURSDAY, NOVEMBER 30, 1972, 3:30 P.M.

NICHOLSON AUDITORIUM

ATTENDANCE RECORD

A roll of elected and ex officio members will be circulated during the meeting. Members will please check their names to indicate their presence. If the list misses you, please stop after the meeting to check your name. The roll, after adjournment, will be at the rostrum.

An attendance record for nonmembers will also be circulated and will be at the rostrum after the meeting.

A summary of the attendance of members elected for the current academic year will be included in the June minutes.

Year 1972-73

No. 1

UNIVERSITY OF MINNESOTA

THE SENATE

DOCKET

NOVEMBER 30, 1972

Your Committee on Business and Rules respectfully presents the following matters for consideration.

I. MINUTES OF MAY 25, 1972

Reported for Action

II. SENATE AND UNIVERSITY COMMITTEES, 1972-73

Reported for Action

Senate Committee on Academic Standing and Relations:

James Preus (chairman), Paul Cashman (ex officio), Vivian Hower, Donald Kahn, Ernest Kemble, Leslie King, Stan Kegler (ex officio), Roger Page, Barbara Redman, Ruth Richards, Robert Sonkowsky, Keith Wharton: Students: Frank Kruff, Sandy Schanfield, Patricia Knight, George Olson.

University Committee on Social Policy:

Elving Anderson (chairman), Ernest Coleman, James Holloway, Craig Kisko, Gisela Konopka, Barbara Knudson, Fred Lukermann (ex officio), George Robb (ex officio), Frank Wood: Students: Ed Lohmann, Cindy Kaufman, Ken Behringer, Eric Hammer, Walter Hayes.

University Committee on University Honors:

William Lockhart (chairman), Charles Carr, Ed Haislet (ex officio), Richard Jordan, William McDonald, William McEwen, Thomas Kraabel, William Shepherd (ex officio), Russ Tall (ex officio), Frank Hirschbach: Students: Connie Barnhart, Colleen Shannon, Bill Atmore.

University Committee on Printing and Publications:

Donald Woods (chairman), Walter Brovald, John Fisher (ex officio), Lisolette Gumpel, Ralph Hopp, Richard Mather, Les Metz (ex officio), Harold Swanson (ex officio), Russ Tall (ex officio), Robert Taylor (ex officio): Students: Janet Gustafson, Dennis Virden, Dave Drummond.

University Schedule Committee:

John Buchanan (chairman), Thomas Chamberlin, Vernon Cardwell, John Fisher (ex officio), Robert Geary, Raymond Lammers, Lloyd Lofquist (ex officio), Dorothy Sheldon: Students: Gary Brod, Nancy Coyne, Richard Fellows, Shawn Jahnke, Linda Grohoski.

Senate Committee on Educational Policy:

Eugene Grim (chairman), Paul Cashman (ex officio), Harold Chase, Mary Corcoran, Earl Craig, Siegfried Grosser, Nathaniel Hart, Carol Pazandak, Arthur Hendrickson, Stan Kegler (ex officio), Albert Linck, Willard Hartup, John Neter, William Shepherd (ex officio): Students: Floyd Egner, Mark English, Karen Swenson, Jacquie Walter, Jerome Walther.

Council on Liberal Education:

Lloyd Lofquist (chairman), Sabra Anderson, Donald Blocher, Gordon Bopp, Henry Borow, Paul Cartwright, Siegfried Grosser, Nils Hasselmo, C. Alden Mead, Raymond Willis, Harrison Tordoff, John Webb, James Wertz (ex officio), Keith Wharton, Ken Zimmerman (sec.): Students: Elaine Parent, Mary Ann Scanlon, Howard Schwartz, Nancy Roberts, Timothy Lee.

University Committee on Business and Rules:

Frank Sorauf (chairman), Donald Beatty (ex officio), Donald Davidson, Mario Bognanno, Gordon Kepner, David Kieft, Enid Schoettle, Ted Underwood: Students: John Navins, Marcia Hanson, Bret Haage, Mark Cline.

University Committee on Extension and Community Programs:

Thomas Scott (chairman), Roland Abraham (ex officio), Lois Bursack, David Darby, Sheila Koeppen, J. Clark Laundergan, Fred Lukermann (ex officio), John Mauriel, Harold Miller (ex officio), John Moran, Arthur Naftalin, Richard Weatherman, Howard Williams: Students: Jerry Bair, Steve Gray, Tom Sauba, Lola Wendorff, Robert Smith.

University Committee on Computing Facilities:

Eugene Ackerman (chairman), Ronald Anderson, Dave Berg (ex officio), John Gergen, Audrey Grosch, James Henderson, Russell Hobbie, Frank Martin, Ellen Pirro, Frank Verbrugge (ex officio): Students: Jim Rounds, Paul Wozniak, Dave Drummond.

University Committee on Instructional Materials and Media:

Eugene Wright (chairman), Marilyne Backlund, Robert Estelle, Kenneth Maccorquodale, Alvin Ollenburger, Burton Paulu (ex officio), Willard Philipson (ex officio), Carl Poppe, Peter Roll (ex officio), Cletus Schertz: Students: Gary Brod, Jerry Bair, David Resch, Judy Strain, Aethan Hart.

University Committee on Summer Sessions:

Roxanna Ford (chairman), Paul Cartwright, Adelle Donchenko, Nils Hasselmo, Arnold Henjum, Gordon Kingsley, Fred Lukermann (ex officio), Dennis Nelson, Willard Thompson (ex officio): Students: Nancy Coyne, Mary Jo Westmoreland.

University College Governing Council:

Clarke Chambers (chairman), C. Frederick Farrell, Alan Briskin, Roy Hoover, Richard Hey, Norman Kerr, Fred Lukermann (ex officio), Carolyn Rose, Roberta Simmons, Frank Sorauf, Warren Stenberg, James Wertz (ex officio): Students: Pam Prosser, Ron Ezuck, George Dmowski, Kathy Kelly.

University Committee on Educational Development:

William Gardner (chairman), Mary Corrigan, Wendell Glick, George Blake, Peter Roll (ex officio), Robert Sonkowsky, William Spring, Charles Walcott: Students: Elaine Parent, Tom Strapp, Ginny Isaacs, F. Howard Nelson, Mark Woolard.

University Committee on University-ROTC Relationships:

Fred Morrison (chairman), Frederick Adelman (ex officio), Lawrence Bulawski (ex officio), Walter Broughton (ex officio), Ernest Coleman, LaVell Henderson, Dorothy Loeffler, Fred Lukermann (ex officio), John Ness, Philip Raup, Robert Teese (ex officio), Robert Scott: Students: John Myers, Gary Gottfried, Gail Rajala, Skip Goetze.

Senate Committee on Faculty Affairs:

Isabel Harris (chairman), Thomas Boman, James Brinkerhoff (ex officio), Shirley Clark, Robert Eyestone, Virginia Kivits, Raymond Lammers, William Shepherd (ex officio).

University Committee on Tenure:

Carl Auerbach (chairman), Thomas Bacig, Sue Bobrow, Roger Larson, Joseph Latterell, Lloyd Lofquist (ex officio), Fred Morrison, Phillip Tichenor.

University Appeals Committee on Academic Freedom and Responsibility:

Fred Amram (chairman), Benjamin Bayman, James Grant, Marian Hall, James Olson, Robert Stein, John Ward: Students: Barbara-Ann March, John Printz, Judy Anderson, Enrique Serra, Ken Behringer.

Senate Judicial Committee:

Caroline Rose (chairman), David Cooperman, John Cound, Donald Gillmor, Fred Morrison.

Senate Library Committee:

Gerhard Weiss (chairman), Russell Dubois, Albert Frenkel, Evelyn Hansen, Ralph Hopp (ex officio), Dale Lange, Sheila McNally, Richard Morris, Paul Murphy, Wayland Noland, William Rosendahl, Lloyd Smith, Leonard Wilson: Students: Richard Davis, Sandy Kaplan, Walter Hodynsky, Jane Trosdahl, John Myers, Joan Bedor.

Senate Committee on Research:

Robert Wirt (chairman), Sandra Scarr, James Brinkerhoff (ex officio), May Brodbeck (ex officio), John Darley, Phyllis Freier, Stephen Hedman, Robert Holloway, William Hueg (ex officio), Stan Kegler (ex officio), James Lawver (ex officio), Thomas Post, L. E. Scriven, William Shepherd (ex officio), Gary Reineccius: Students: Tom Wincek, Susan Kleinhenz, Tim Carlin.

University Committee on Use of Human Subjects in Investigation:

Homer Mason (chairman), Ellen Berscheid, May Brodbeck (ex officio), William Lockhart, Lloyd Lofquist (ex officio), Russell Lucas, Robert Pozos, Sheldon Reed, Roberta Simmons: Students: Jim Rounds, Jim Berger, John Townsend.

Senate Committee on Resources and Planning:

William Flanigan (chairman), James Brinkerhoff (ex officio), Stephen Granger, Hosni Iskander, Stephen Kahne, Stan Kegler (ex officio), Fred Lukermann (ex officio), George Milkovich, Robert Mulhausen, Betty Robinett, W. B. Sundquist, David Vose: Students: Mark Hagedorn, Kathy Reynolds, Mary Ebert, Mark Shultenover, James Bruzek.

III. REPORT OF THE UNIVERSITY COMMITTEE ON BUSINESS AND RULES

1. Reported for Information

Rules governing the University Senate

I. Authority of the Committee:

"The committee prescribes both general and special rules of procedure for considering specific items of University Senate business. General or specific rules established by this committee may be revoked or amended by affirmative action of two thirds of the members of the University Senate present and voting." (Senate Handbook: U1.4.4.1, sec. e)

- Any member of the Senate, upon being recognized by the chair, may give his time in debate to a nonmember of the Senate.
- Senators and non-Senators will be limited to a maximum of 3 minutes time on each occasion they are recognized for participation in debate.

Interpretations and Understandings

- The traditional practice of alternating speakers pro and con a proposal will continue.
 - The traditional practice of not recognizing members who have already participated so long as there are would-be speakers who have not will also continue.
 - The usual rules of germaneness and decorum will apply both to Senators and non-Senators.
 - In the event a Senator cedes his time in debate to a non-Senator, both shall be considered to have participated in the debate.
- C. Time limits (as specified on the agenda) will govern the maximum amount of time for debate of items for action.

Interpretations and Understandings

1. The time limits set only a maximum time for debate; a call for the question is in order before the expiration of the time limit.
2. At the expiration of the maximum time for debate, the chairman will put the question to a vote.
- D. No amendment of an item on the printed docket shall be in order unless it has been submitted in writing to the clerk of the Senate and to the chairman of the committee submitting the report at least 48 hours in advance of the meeting at which the report is to be considered. This rule may be suspended by majority vote. (This rule is announced at this time and will become effective upon adjournment of this meeting).

2. Reported for Action

The University Committee on Business and Rules recommends the following amendment to Article III, Section 7 of the Bylaws of the University Senate so that, as amended, Section 7 will read as follows:

There shall be a Judicial Committee which shall be composed of at least nine (9) members of the faculty. The amendment is underlined. (Otherwise, Section 7 remains unchanged.)

At present, membership of the Judicial Committee is limited to five (5) members of the faculty. The responsibilities of the Judicial Committee have increased to the point that additional members are urgently required.

3. Reported for Information

Due dates for docket material for Senate meetings 1972-73

Winter Quarter

Senate meeting - March 8, 1973

Docket material due - February 21, 1973

Spring Quarter

Senate meeting - May 24, 1973

Docket material due - May 9, 1973

FRANK J. SORAUF
Chairman

**IV. REPORT OF THE ALL-UNIVERSITY
SENATE CONSULTATIVE COMMITTEE**

Reported for Action

The Consultative Committee, in order to facilitate greater interaction among Senate members and to permit more orderly consideration of the agenda, recommends two measures:

- 1) The scheduling of an additional meeting in the winter and spring quarters. The extra winter meeting would take place on January 18, 1973. The extra spring meeting would be April 19, 1973.
- 2) The spring meetings would begin at 2:30 p.m. to allow colleagues from coordinate campuses adequate time for travel.

The Consultative Committee would regard these arrangements as experimental and would report to the University Senate at its last meeting a recommendation on scheduling for 1973-1974.

SAMUEL KRISLOV
Chairman

**V. REPORT OF THE SENATE COMMITTEE
ON RESEARCH**

**Reported for Action
(Maximum time—one hour)**

The Senate Committee on Research recommends approval of the following report of the University Committee on the Use of Human Subjects in Investigation.

**PROPOSED STANDARDS AND PROCEDURES
RELATED TO THE USE OF HUMAN SUBJECTS
IN RESEARCH, MEDICAL AND SOCIAL**

OUTLINE

- I. Statement of Policy
- II. Principles and Summary of Procedure
- III. Procedure for Implementation of Principles
 - A. Scope of Activities to be Covered by Procedure
 - B. Important Elements of Procedure
 1. Administrative Structure, University-Wide Committee
 - a. Composition
 - b. Selection of Members
 - c. Duties and Responsibilities
 - 1) Administration of Policy
 - 2) Formulation of Policy
 - 3) Reporting to the Senate
 2. Review Subcommittee
 - a. Function
 - b. Composition
 - c. Chairman
 3. Executive Secretary
 4. Research Protocols
 - a. Content
 - b. Approval
 - c. Protocol Handbook
 - C. Activities within the Proposed Structure
 1. Conduct of Research that Falls Within the Scope of an Approved Protocol
 2. Prior Review of Non-protocol Research
 3. Application for Review and Approval of Non-protocol Research
 4. Appeals of Subcommittee Decisions
 5. Complaints Against Investigators
 6. Sanctions for Investigators
- IV. Implementation of Proposed Procedure
 - A. Time Schedule
 - B. Development of Initial Research Protocols
 - C. Subsequent Senate Review
 - D. Application of Procedure to Research in Progress at Time of Adoption

PART I

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

The Statement of Policy is submitted for approval to the University Senate through the Senate Committee on Research and for recommendation to the Regents for adoption to replace the present Statement of Policy and Procedures as adopted in November, 1966.

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

1. To safeguard 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, and
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 prior collegial review of all research involving human subjects (see Part III for a definition of these 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, which 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, and
 - 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; and
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 PROCEDURE**

1. All subjects of research must have given informed consent to their participation in any research project unless securing such consent is inconsistent with the purpose and feasible conduct of such research project and it is reasonable to conclude that a subject would have no objection to his participation. All exceptions to the requirement of informed consent must be approved by an appropriate review committee.
2. It is expected that investigators will design research procedures in such a way that they do not involve:
 - a. The exposure of subjects to a physical or psychological risk that is appreciably greater than we normally take in the conduct of our affairs,
 - b. The disclosure of confidential information.

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.
3. For purposes of review, research projects will be divided into two categories:
 - a. 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.
 - b. 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.
4. It is expected that for projects of the first type, interested investigators will develop a series of general protocols covering specific research designs. Once these protocols are approved by an appropriate ethical review committee, individual projects that fall within the scope of a protocol will not require individual review. Investigators will file a description of the project and a list of the relevant protocols with the appropriate review committee.
5. Projects that do not fall within the scope of approved protocols must be submitted to a review committee for individual prior review and approved before the research is instituted.

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. But to justify these exceptions it will not be sufficient merely to weigh the potential benefits and importance of the research against the risks to the subject's rights and welfare. A review committee should also consider whether it is reasonable to think that a subject himself would find the risks justified in light of the importance or potential benefits of the research. In such a case evidence from representatives of the population is desirable.
6. An investigator may in any case request that his 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. The phrases "research involving human subjects" and "procedures involving human subjects" and "research projects involving the use of 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. "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" include:
- 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 procedure. 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 purposes 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 of 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 of research protocols. First, two types of committees will be described—the University Committee on the Use of Human Subjects in Research and the four review subcommittees. Second, there will be a discussion of procedure by which the research protocols will be instituted.

1. Administrative Structure: University Committee on the Use of Human Subjects in Research.

a. Composition

The University Committee on the Use of Human Subjects in Research shall consist of at least forty-two members drawn from the faculty, staff and student-body of the University and specifically falling within the following five categories:

- 1) At least twelve (12) members from the health sciences and biological sciences,
 - a) Ten (10) of whom shall be drawn from the faculty and staff of the units of the University dealing with health sciences, and

- b) Two (2) of whom shall be students in these units of the University, one an undergraduate and one a graduate or professional student.
- 2) At least twelve (12) members from the social and behavioral sciences,
 - a) Ten (10) of whom shall be drawn from the faculty and staff of the units of the University dealing with social and behavioral sciences, and
 - b) Two (2) of whom shall be students in these units of the University, one an undergraduate and one a graduate student;
- 3) Two (2) members from the University Hospitals Administration;
- 4) At least four (4) members from the Law School; and
- 5) At least twelve (12) members from other units of the University.
 - a) Eight (8) of whom shall be faculty members, and
 - b) Four (4) of whom shall be students.

In the event that the size of the committee should be expanded to more than forty-four members, the proportions of members from each of the above categories would remain the same.

Figure I
Structure of University-Wide Committee

Members from Biological and Health Sciences	Members from the Social & Behavioral Sciences	Members from Biological, Health, Social or Behavioral Sciences	Members not from University Hospitals Administration	Total
Faculty Total 10	Total 10	Total 12	Total 2	34
		Law School 4		
		Others 8		
Students: Grad 1	Grad 1	Grad 2		8
UG 1	UG 1	UG 2	TOTAL MEMBERSHIP	42

b. Selection of Members

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. The representatives shall be drawn from units or departments chosen by the Senate Committee on Research. These members shall serve for staggered two-year terms and must be approved by a majority vote of the units or departments represented. The remaining members of this committee shall be appointed in accordance with the Constitution of the University Senate, Article IV, Section 4, and the Rules and Operational Procedure of the Senate, U1.302.2 and U1.302.3.

1) 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.

2) Official Positions on the Committee

The chairman shall be elected from the appointed members by a two-thirds vote of the committee and shall serve for a period of two years.

3) All meetings shall be held in accordance with Robert's Rules of Order.

c. Duties and Responsibilities

1) Administration of Policy

The University 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 projects of research involving human subjects, to assure the fullest protection of the rights and welfare of such subjects.

2) Formulation of Policy

The University 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, 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) Reporting to the Senate

The University Committee on the Use of Human Subjects in Research shall report to the Senate through the Senate Committee on Research in accordance with the Rules and Organizational Procedures of the Senate, U1.302.5.

2. Review Subcommittees

a. Function

The University Committee on the Use of Human Subjects in Research shall perform its functions of prior collegial review through subcommittees except where request is specifically made for full committee consideration of a problem. Subcommittees shall review and make recommendations to the University Committee on all research protocols submitted for approval. The subcommittees shall also review all individual proposals within the committee's domain, acting within one month of submission.

b. Composition

The membership of the University Committee on the Use of Human Subjects in Research shall be divided into four subcommittees, as shown in Figure 2. The actual assignment of individuals to subcommittees will be changed every year and approval by a majority vote of the University Committee. Any member of a subcommittee may arrange for a substitute for himself for any meeting of the subcommittee provided the substitute is a member of the University Committee, presumably from the same classification. The University Committee may elect to activate fewer than the four subcommittees, if the volume of work does not justify four subcommittees. However, at least one subcommittee must be active in each specialty at all times.

c. The chairman shall be elected from the subcommittee membership and approved by a two-thirds vote of the subcommittee membership.

3. Executive Secretary of the University Committee on the Use of Human Subjects in Research

a. There shall be an executive secretary of the University Committee on the Use of Human Subjects in Research who will handle the administrative work of the committee; schedule meetings of the committee and its subcommittees; call meetings; and maintain adequate records for the committee and subcommittee meetings—including formal requests for approval of research projects, minutes of all committee and subcommittee meetings, and the formal decisions of the committee and its subcommittees, 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.

b. The executive secretary shall not be a voting member of the committee or of its subcommittees but shall be entitled to attend any committee meetings or subcommittee meetings.

c. The executive secretary shall be appointed by the president with the approval of the University Senate for a three year term, subject to reappointment for successive terms.

4. 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.

Figure 2
Structure of Subcommittees

Health and Biological Sciences Subcom. I	Health and Biological Sciences Subcom. II	Behavioral and Social Sciences Subcom. I	Behavioral and Social Sciences Subcom. II
Biological and Health Sciences Faculty..... 4..... 4..... 1..... 1			
Grad.St..... 1..... 1..... 1..... 1			
UG.St..... 1..... 1..... 1..... 1			
Behavioral and Social Sciences Faculty..... 1..... 1..... 4..... 4			
Grad.St..... 1..... 1..... 1..... 1			
UG.St..... 1..... 1..... 1..... 1			
NOT Biological, Health, Social, or Behavioral Science Law School..... 1..... 1..... 1..... 1			
Other Fac..... 2..... 2..... 2..... 2			
Grad.St..... 1..... 1..... 1..... 1			
UG.St..... 1..... 1..... 1..... 1			
Totals: Faculty..... 8..... 8..... 8..... 8			
Grad.St..... 1..... 1..... 1..... 1			
UG.St..... 1..... 1..... 1..... 1			
Total Members..... 10..... 10..... 10..... 10			

a. Content

A 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 devices 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 Protocols

Protocol proposals are to be submitted to an appropriate review subcommittee where, upon approval by a two-thirds vote of the subcommittee, they are to be submitted to the University Committee for final approval. Final approval requires a majority vote of the committee.

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

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

c. Protocol Handbook

It shall be the duty of the executive secretary to maintain a current "Protocol Handbook" listing all of the approved protocols.

C. ACTIVITIES WITHIN THE PROPOSED STRUCTURE

1. Conduct of Research that Falls Within the Scope of an Approved Protocol

It is assumed that investigators will develop research projects on the basis of scientific merit, and before conducting research with human subjects, consult the "Protocol Handbook" to determine whether or not a research procedure falls within the scope of one or more of the existing protocols.

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 protocols that cover the research procedure. The investigator will be allowed to conduct the research immediately after filing the form with the executive secretary. (See Appendix A, Example Form I.) Annually, approximately ten percent of the projects filed under a given protocol will be reviewed for compliance.

In the event that the investigator finds that his 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 committee, 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 both the review subcommittee and the University Committee, 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 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 review of any research project even if a protocol exists.

2. Individual Prior Review of Non-protocol 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, listed in the "Protocol Handbook," he will be expected to present a description of his research procedure and the justification for the research to the appropriate review subcommittee. The review subcommittee will be expected 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 subcommittee feels that the risks to the rights and welfare of the subjects are greater than that specified in Principles 1 and 2, then the subcommittee will be expected 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. The subcommittee will also be expected to consider whether the subject himself would find the benefits of the research to outweigh any risks.

3. Application for Review and Approval of Non-protocol Research

In order to obtain approval, the investigator or investigators who wish to undertake scientific research involving human subjects shall prepare and have forwarded to the executive secretary 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, and
- 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.

c. The executive secretary will assign the application to the appropriate subcommittee. Research dealing with both health science phenomenon and social science phenomenon should be reviewed by subcommittees representing both areas of research.

d. The review subcommittee will be expected to conduct an initial evaluation of any research proposal within one month of its submission to the executive secretary.

e. Following its review of the projected research, the subcommittee shall determine whether the proposed research project will be approved with or without modification or disapproved. The determination of the subcommittee shall be by a majority vote of the subcommittee membership, but with opportunity for a formal recording of an expression of minority views by any members who disagree with the determinations or recommendations made, at their request.

f. The formal action of the subcommittee shall be reported to the executive secretary of the committee, and by him to all members of the committee and to the investigator.

4. Appeals of Subcommittee Decisions

Any investigator may appeal a decision of a review subcommittee to the University Committee on the Use of Human Subjects in Research. Any two members of a reviewing subcommittee may request review of a decision by the University Committee. In such cases, the University Committee is obligated to provide a complete review of the issues and come to a decision within one month of receipt of requests for review by the executive secretary. Ad hoc subcommittees may be appointed when considered appropriate, but no member of the original review committee should serve on such subcommittees. 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 to the investigator and to each committee member.

Action taken by the full University 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 the 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 to reconsider its action.
- 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.

5. Complaints Against Investigators

Any subject of research, faculty member, student, or member of the community may institute a complaint that an investigator has failed to comply with the prescribed standards for the use of human subjects.

All complaints related to the conduct of research with human subjects shall be brought to the attention of the University Committee on the Use of Human Subjects in Research. The committee shall consider each complaint and if the committee decides, by majority vote, that the complaint merits investigation, then the complaint shall receive the attention of a full investigation.

For each investigation, an ad hoc subcommittee of not less than three members, of whom the majority will be faculty members, shall be appointed by the chairman and approved by a majority vote of the University Committee. The ad hoc investigating subcommittee should have access to the resources necessary to conduct a complete investigation, be composed of individuals with the technical competence to understand relevant scientific issues and should be able to draw on the competence of non-committee members in conducting its investigation.

Upon completion of the investigation, the ad hoc investigation subcommittee should report its findings to the full University Committee.

In the event that the University Committee, by majority vote, determines that the investigator has committed an unethical act and exposed human subjects to risks greater than those in Principles 1 and 2 without prior approval of the review subcommittee representing the University Committee on the Use of Human Subjects in Research, then appropriate sanctions are to be developed as discussed in the following section.

6. Sanctions for Investigators

In the event that the University Committee on the Use of Human Subjects in Research determines, by majority vote, that an investigator is guilty of unethical conduct in the use of human subjects in research, a new ad hoc committee, composed of at least three faculty members of the University Committee, excluding the chairman, students and members of the ad hoc investigating committee that investigated this complaint will be formed to determine sanctions appropriate to the infraction.

The committee shall consider the circumstances of the infraction, the relation of the investigator to the University, and the nature of the risks to the human subjects in determining the appropriate sanction.

Upon the approval of the majority of the University Committee, a report of the investigation and the recommended sanctions shall be submitted to the president of the University for final disposition.

**PART IV
IMPLEMENTATION OF THE PROCEDURE**

A. TIME SCHEDULE

The most important aspect of the procedure involves the approval of the research protocols. These must be in existence before investigators will know what procedure to follow. The following timetable is recommended:

Winter Quarter 1973	Submission to the Academic Senate and to the University Board of Regents, if approved by the Academic Senate and the University Board of Regents.
Spring Quarter 1973	Appointment of the University-Wide Committee and review subcommittees.
Spring 1973 Winter 1974	Development of ad hoc committees to submit protocol proposals for approval.
Spring 1974	Development of "Protocol Handbook" and activation of procedure.

B. DEVELOPMENT OF INITIAL RESEARCH PROTOCOLS

In order to develop a useful "Protocol Handbook" and get the procedure into operation, it is useful to have a set of protocols available at the initiation of the procedure. It is recommended that a series of ad hoc subcommittees be formed among people using similar research procedures to produce protocols to cover the most routine and ordinary research procedures. Once these are produced, the appropriate reviewing subcommittee can evaluate the protocols, combining similar protocols or separating complex protocols into simpler more general protocol when necessary.

In addition to the ad hoc protocol committees, principal investigators of major research projects would be invited to submit protocols that would allow them to vary their research technique without submitting each variation for prior review.

Instructors of courses where the emphasis is on the study of research techniques or substantive matter involving human subjects, where human subjects are used in demonstrations, will be expected to submit protocols for approval that cover those procedures used for training students in research techniques.

C. SUBSEQUENT SENATE REVIEW

Senate approval and enforcement of this program of standards and procedures expires December 30, 1974. Before renewal of Senate approval of the standards and procedures, a report of the effects of operation of the program on University research must be presented to the Senate Committee on Faculty Affairs.

D. APPLICATION OF PROCEDURE TO RESEARCH IN PROGRESS AT TIME OF ADOPTION

Investigators conducting research that is in progress at the time the procedure is activated and that would fall within the scope of the proposed standards need not submit their research for approval, using one of the options discussed in Part III, Section C, until six months after the official announcement of the activation of the procedure (see Part IV, Section A).

**APPENDIX A
Example Form 1**

**Report of Research Conducted
Using Human Subjects
and an Approved Research Protocol**

Title of Research: Data to be Collected: to
Number of Subjects: Age Range: Location of Data Collection:
How Subjects Selected:
Brief description of research procedure (use back of page if necessary):

Check those protocols that cover this research activity (protocols described more thoroughly in the "Treatment of Human Subjects" handbook):

-1
-2
-3
-4
-5
-6

Individuals collecting or handling data (use back if necessary):

Name	Activity	University Status
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.....
.....
.....

Individual preparing form	Date	Faculty-staff member responsible for project	Date
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Committee on Use of Human Subjects in Investigation

H. E. MASON,
Chairman

**VI. REPORT OF THE SENATE
LIBRARY COMMITTEE**

Reported for Action

In Spring, 1971, the Library Committee reported to the Senate that the loss of library materials by faculty members had become a matter of serious concern. The committee regrets that the situation has not improved and recommends the following actions for adoption by the Senate.

1. Action: Effective with the beginning of spring quarter 1973 (March 28), a faculty member asking to borrow library materials shall present a University of Minnesota Faculty Identification Card if required by the library.

Rationale: The "signature only" system of the past was based on a relatively small faculty and during recent years has become an insufficient protection against misuse. The new system will provide greater accuracy and efficiency in record keeping and will prevent any false claim to faculty status by outsiders.

The resolution as phrased above still permits individual libraries, usually those dealing with a relatively small faculty group, to continue their present lending policies.

The effective date of March 28, 1973, was chosen so that all faculty members may have time to obtain an official ID Card.

2. Action: With the beginning of spring quarter 1973 (28 March), all faculty members shall be billed for the replacement costs of library materials lost by them.

Rationale: The library has been reluctant over the years to charge faculty for books lost. The problem of lost materials has become more serious in recent years, and the cost of replacement poses a serious burden on the library budget. To bill faculty for the replacement costs (cost of materials plus processing), therefore, has become an economic necessity. It is also a matter of equity, when we consider that students have been paying cost and processing fees for lost items, in addition to fines, while the faculty so far has gone free.

The library considers a book lost when a faculty member does not return the book after two written recall notices and a telephone call; or when a faculty member personally declares an item lost.

GERHARD H. WEISS
Chairman

**VII. REPORT OF SENATE COMMITTEE ON
ACADEMIC STANDING AND RELATIONS**

**1. Reported for Action
Accreditation of Nonpublic Secondary Schools**

Under the terms of the Revised Criteria for the Accreditation of Private Secondary Schools (December 4, 1969, Senate Minutes, pp. 9-29) nine such schools were visited during the academic year. One, the Lutheran High School of Minneapolis, is recommended for initial accreditation for a period of three years, subject to revisitation in 1975 and to the submission of satisfactory annual reports. Cathedral High School, Duluth, and Derham Hall High School, St. Paul, were reviewed jointly with the North Central Association; the Breck School, Hopkins, and St. Paul Academy and Summit School, St. Paul, were reviewed jointly with the Independent Schools Association of the Central States; these four are recommended for continued accreditation. Maplewood Academy, Hutchinson, was reviewed jointly with the Seventh Day Adventist Education Association; it is recommended for reaccreditation for three years only, subject to revisitation in 1975. Three schools were reviewed only by the University of Minnesota: Benilde High School, St. Louis Park; Hillcrest Lutheran Academy, Fergus Falls; and St. Agnes High School, St. Paul; they are recommended for continued re-accreditation, subject to the submission of acceptable annual reports.

2. Reported for Information

**A policy on Transfer of Credit in
Religious Studies for Undergraduates**

The transfer of credit to University of Minnesota undergraduate colleges for courses taught in departments of religion at other colleges and universities has been subject to a "rule" limiting transfer credit to 4½ quarter credits. A search of Regents' actions and Senate minutes has failed to bring to light documents supporting the 4½ credit procedure. Hence, the committee has determined that the transfer of credit in religious study should follow the general procedures for transfer of credit in other fields.

Credits in religious study taken at another institution from which the University normally accepts credit will transfer to the University if the courses were not doctrinal, confessional, or sectarian in nature. A procedure to determine transferability will include the following:

Credit in religious study from courses taught at publicly-supported universities, colleges, and junior colleges will be accepted for transfer as Religious Study credit without special University review.

Credit in religious study from courses taught at other institutions will be reviewed by the appropriate campus academic program or committee to determine transferability. For students transferring to Minneapolis-St. Paul campus colleges, the determination of the transfer of credit as Religious Studies will be made by the Religious Study Committee.

The policy is not meant to limit the transfer of coursework under other academic department titles when they are more appropriate. It applies to graduate students only insofar as individual program review results in the recommendation that transfer credit in Religious Study be posted to the University of Minnesota transcript.

JAMES B. PREUS
Chairman

**VIII. REPORT OF THE UNIVERSITY COMMITTEE
ON COMPUTING FACILITIES**

Reported for Information

Response to the proposal that the University of Minnesota join with other educational units in the state to form the Minnesota Educational Consortium.

The University Committee on Computing Facilities considered the organization as described in the document dated August 15, 1972, and entitled "A Report to the Governor's Joint Committee on Computers in Education - A Proposed Educational Computing Services Organization: Its Facilities and Services." They also considered a supplemental response written by Vice President W. G. Shepherd dated October 16, 1972. After considerable discussion and verbalization of the pros and cons, the following consensus emerged.

1. If there is to be such an organization, the University should be part of it. All but one committee member agreed that a viable service-oriented educational computer organization could be established in Minnesota.

advertisement

2. The document describing the proposed consortium has many weaknesses and limitations, some of which are outlined in Vice President Shepherd's memorandum. The University Senate is requested to oppose forming the organization without considerable additional detailed planning. The committee was unanimous in its feeling that the organization proposed in the report would not work.
3. A step-wise plan, both for forming the consortium and for its funding, is critically needed. Such a plan should contain clearly formulated steps after each of which it would be possible to reevaluate and redirect future efforts. Adequate funds and time should be allowed for evaluation.
4. The arguments for a consortium for teletypewriter-compatible time-sharing services are more compelling than for the more general consortium. Accordingly, the University Committee on Computing Facilities endorses the formulation of a modular plan of development. The first modules should involve only time-sharing services. It is the committee's feeling that the development of these first modules should proceed for a period of perhaps two years before adding other modules.

The University Committee on Computing Facilities plans to submit a subsequent response to the modified report which the governor's committee has requested and which is being prepared by an enlarged task force with representation from the central administration offices of each of the educational systems.

EUGENE ACKERMAN
Chairman

IX. REPORT REPORT OF THE SENATE COMMITTEE ON RESOURCES AND PLANNING

Reported for Information

The Senate Committee on Resources and Planning has focused on topics which carry over from last year. During the spring quarter of 1972, after the retrenchment and reallocation process was complete, a committee was appointed under the chairmanship of Toni McNaron, drawing members from the Senate Committee on Resources and Planning, the Senate Committee on Educational Policy, and the Consultative Committee, to review the process and make recommendations for planning the budgetary processes in the future. The McNaron committee reported that the retrenchment and reallocation process was a valuable exercise, although a number of factors operated to reduce its effectiveness. Nevertheless, the committee decided, programmatic review should go on continually through revised mechanisms.

Several broad themes emerge from the McNaron report which will guide the work and proposals of the Senate Committee on Resources and Planning to the Senate. There should be an integration of the distinct activities of administrative decision-making and faculty-student consultation. There should be a set of arrangements established to implement faculty-student participation as Senate representatives in planning the budgetary processes at the all-university level. Educational planning and evaluation should proceed at departmental, collegiate, and university levels on a recurring schedule coordinated with the biennial legislative request.

The McNaron report suggests that the Senate Committee on Resources and Planning bring proposals to the Senate for implementing faculty-student involvement in these planning and evaluation processes. The Senate Committee on Resources and Planning is considering various arrangements to maximize the effectiveness of faculty-student participation.

This concern with planning and budgetary processes is difficult to disentangle from another topic on the agenda of the Senate Committee on Resources and Planning, the revision of *1985 and Beyond*, which the committee must return to the Senate this year. The committee is considering the criticisms of *1985 and Beyond* to render it useful in a larger planning process.

Closely related to the revision of *1985 and Beyond* is the work of the Student Concerns Task Force. The Student Concerns Task Force will report to the Senate Committee on Resources and Planning during the fall quarter on its efforts to develop a position for student concerns in university planning and evaluation.

WILLIAM H. FLANIGAN
Chairman

X. OLD BUSINESS

XI. NEW BUSINESS

XII. NECROLOGY

ROY O. BRIDGFORD
1888-1972

SAMUEL EDDY
1897-1972

HERBERT KENDALL HAYES
1884-1972

CLARKE MICHAEL LIGHTNER
1937-1972

ALBERT JAMES LOBB
1884-1972

DENNIS M. RYAN
1909-1972

LOUISE A. STEDMAN
1907-1972