Higher Learning Commission Criterion Four Core Component 4D

The organization provides support to ensure that faculty, students, and staff acquire, discover, and apply knowledge responsibly

UMC academic and student support programs contribute to the development of student skills and attitudes fundamental to responsible use of knowledge. UMC student orientations, course syllabi, class schedule publications, and student policy manuals all provide information about responsible conduct and academic integrity.1

UMC student clubs and organizations are faculty and staff sponsored to provide mature guidance to student members. All clubs must perform two community service activities each semester to receive financial support from the university. Service learning is an integral component of many UMC classes. Thousands of student service hours are volunteered each year to community organizations and citizens by UMC classes and student organizations. (FFA, Agarama, Equine Extravaganza, SIFE projects, Early Childhood Parent/Child Carnival, etc.) 1

UMC follows explicit policies and procedures to ensure ethical conduct in its research, instructional, and social activities. UMC faculty, staff, and students are trained on policy regarding responsible and ethical behavior as it relates to consulting, publishing, research, grant writing, conduct, animal rights, and other academic related activities and ventures.2

d1
- Sample class schedule
- Sample course syllabi
- http://www1.umn.edu/regents/policies/academic/StudentConductCode.pdf,
- Service learning records
- Community service records

d2
- http://www1.umn.edu/regents/policies/academic/PrincipalInvestigator.pdf
- http://www1.umn.edu/regents/policies/academic/IntellectualProperty.pdf,
- http://webhome.crk.umn.edu/~ljohnson/HR/Violence.doc
- Research involving human subjects
STUDENT CONDUCT CODE

Subd. 1. Policy Statement. It is the policy of the University of Minnesota (University) that certain minimum standards of conduct are necessary to safeguard the rights, opportunities, and welfare of students, faculty, staff, and guests of the University community and to assure protection of the interests of the University as it seeks to carry out its mission.

The University requires a community free from violence, threats, and intimidation; protective of free inquiry; respectful of the rights of others; open to change; supportive of democratic and lawful procedures; and dedicated to a rational and orderly approach to the resolution of conflict.

Subd. 2. Delegation of Authority. The president or delegate shall promulgate these standards of conduct on all campuses with appropriate explanation, including publication and distribution of the Student Conduct Code (Code), procedures, and standards governing student conduct at the University.

Subd. 3. Application. This policy applies to all students and student organizations of the University.

SECTION I. INTERESTS OF THE UNIVERSITY RELEVANT TO A CODE.

Over a period of years, University adjudicative bodies have decided questions of jurisdiction by identifying University interests. The interests listed below provide a substantial foundation for the building of a code.

(1) The University has a primary concern with matters that impinge upon academic achievement and integrity.

(2) The University has a fundamental concern with conduct that breaches the peace, causes disorder, and substantially interferes with the rights of others.

(3) The University has a fundamental concern with behavior that threatens or actions that imperil the physical and mental health and safety of members of the University community.
(4) The University has an obligation to protect its property and the property of members of its community from theft, damage, destruction, or misuse.

(5) The University has a commitment to enforce its contractual agreements.

(6) The University has an obligation to support and be guided by applicable state and federal laws.

(7) The University has a concern about behavior repugnant to or inconsistent with an educational climate.

SECTION II. THE RESPONSIBILITIES OF DUAL MEMBERSHIP.

Students are both members of the University community and citizens of the state. As citizens, students are responsible to the community of which they are a part, and the University neither substitutes for nor interferes with regular legal processes. Students are also responsible for offenses against that academic community. Therefore, an action involving the student in a legal proceeding in a civil or criminal court does not necessarily free the student of responsibility for this conduct in a University proceeding. When a student is charged in both jurisdictions, the University will decide on the basis of its interest and the interest of the student whether or not to proceed with its internal review simultaneously or to defer action.

SECTION III. DISCIPLINARY OFFENSES.

Listed below are the disciplinary offenses actionable by the University.

(1) **Scholastic Dishonesty.** Scholastic dishonesty means plagiarizing; cheating on assignments or examinations; engaging in unauthorized collaboration on academic work; taking, acquiring, or using test materials without faculty permission; submitting false or incomplete records of academic achievement; acting alone or in cooperation with another to falsify records or to obtain dishonestly grades, honors, awards, or professional endorsement; or altering, forging, or misusing a University academic record; or fabricating or falsifying of data, research procedures, or data analysis.

(2) **Disruptive Classroom Conduct.** Disruptive classroom conduct means engaging in behavior that substantially or repeatedly interrupts either
the instructor's ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities.

(3) **Falsification.** Falsification means willfully providing University offices or officials with false, misleading, or incomplete information; forging or altering without proper authorization official University records or documents or conspiring with or inducing others to forge or alter without proper authorization University records or documents; misusing, altering, forging, falsifying, or transferring to another person University-issued identification; or intentionally making a false report of a bomb, fire, natural disaster, or other emergency to a University official or an emergency service agency.

(4) **Refusal to Identify and Comply.** Refusal to identify and comply means willfully refusing to or falsely identifying one's self or willfully failing to comply with a proper order or summons when requested by an authorized University official.

(5) **Attempts to Injure or Defraud.** Attempts to injure or defraud means making, forging, printing, reproducing, copying, or altering any record, document, writing, or identification used or maintained by the University when done with intent to injure, defraud, or misinform.

(6) **Threatening, Harassing, or Assaulitive Conduct on Campus.** Threatening, harassing, or assaulitive conduct on campus means engaging in conduct on campus that endangers or threatens to endanger the health, safety, or welfare of another person, including, but not limited to, threatening, harassing, or assaulitive behavior.

(7) **Disorderly Conduct on Campus.** Disorderly conduct on campus means engaging in conduct on campus that incites or threatens to incite an assault or breach of the peace; breaching the peace; obstructing or disrupting teaching, research, administrative, and public service functions; or obstructing or disrupting disciplinary procedures or authorized University activities.

(8) **Possession or Use of Weapons on Campus.** Possession or use of weapons on campus means possessing or using on campus weapons or articles or
CODE OF CONDUCT

SECTION I. PREAMBLE.

The University of Minnesota is committed to the highest standards of professional conduct, therefore all members of the University community are expected to adhere to the highest ethical standards of professional conduct and integrity. The values we hold among ourselves to be essential to responsible professional behavior include: honesty, trustworthiness, respect and fairness in dealing with other people, a sense of responsibility toward others and loyalty toward the ethical principles espoused by the institution. It is important that these values and the tradition of ethical behavior be consistently demonstrated and carefully maintained.

SECTION II. DEFINITIONS.

Subd. 1. Members of the University Community. “Members of the University community” or “members” mean faculty and staff; any individual employed by the University, using University resources or facilities, or receiving funds administered by the University, and volunteers and representatives who may speak or act as agents for the University. Members do not include students taking courses, attending classes, or enrolled in an academic program unless they meet one of the former criteria.

SECTION III. RIGHTS AND RESPONSIBILITIES.

Subd. 1. Fairness. Members of the University community have the obligation to respect, and to be fair to other members, students and persons they supervise, and to foster their intellectual and professional growth. Members must not engage in, nor permit, harassment and illegal discrimination. Members must not abuse the authority they have been given and care must be taken to ensure that any personal relationships do not result in situations that might interfere with objective judgment.

Subd. 2. Professional Conduct. Workplace and educational experiences must impart ethical standards of professional conduct through instruction and example. Members of the University community are expected to conscientiously fulfill their obligations toward students, advisees, colleagues and performing their duties as part of the University community. Members must support intellectual freedom.

Subd. 3. Compliance. Members of the University community are expected to understand and comply with laws and regulations related to their duties. Members are
responsible for adherence to University policies and procedures and are expected to comply with State and Federal laws. Members involved in the maintenance of private personnel and student data have the obligation to comply with the Minnesota Government Data Practices Act. The University has the obligation to provide the opportunities necessary to assure awareness. Members are expected to see that those who report to them are informed about, understand and comply with regulations such as those for health and safety in the workplace, including the procedures to assure the ethical treatment of human subjects and animals and the use of hazardous materials.

Subd. 4. Authorship. In an academic environment we continually seek after knowledge and understanding and must transmit our findings faithfully. Members of the University community who create scholarly products or works of art must guarantee the originality of their work and provide credit for the ideas of others upon which their work is built. All authors on a published work are responsible for the accuracy and fairness of the presented information.

It is expected that members of the University community consider individuals for inclusion as authors on work submitted for publication if they have contributed substantially intellectually to the work. Special care must be taken to clarify authorship with entry level professional persons such as graduate students, post doctoral fellows and trainees, preferably before the work is begun. It is inappropriate for members to include individuals as authors if they contributed only peripherally to the work, e.g., providing lab space, equipment or funding; being involved in patient care; providing patient samples; or having a supervisory position.

Subd. 5. Peer Review. Any material received by members of the University community to review for funding or publication is confidential and the ideas contained therein must not be used in any other manner by the reviewer unless specifically permitted.

Subd. 6. Data Collection and Management. Falsification, fabrication and unacknowledged appropriation of the data of others by members of the University community is unethical and prohibited. At the outset of any research project all participants are expected to discuss and agree upon data management and access and retention procedures including procedures for having participants join or leave the project. Privacy of collected data and rights to intellectual property must be protected. Student rights to data are expected to be clearly specified.

All documentation necessary to reconstruct investigations is expected to be available and data are to be recorded in a timely and consistent manner.
Subd. 7. Fiscal Responsibilities. Members of the University community must not accept money for research or gifts on behalf of the University or as part of their University activities except as prescribed by University policy. All funds provided for research must be spent in ways consistent with the funding documents and in compliance with the guidelines on allowable costs. Members in charge of budgets have an obligation to monitor records of expenditures for compliance with University policies and procedures and to allow these records to be viewed by appropriate parties. Departmental files are the property of the University.

The University has the obligation to provide up-to-date records of financial transactions.

In order to comply with this policy, it is essential that members understand and comply with all Board of Regents policies. In particular, members must read and understand the following Board of Regents Policies:

1. Academic Misconduct;
2. Financial or Business Conflict of Interest;
3. Financial Disclosure for Senior Officials;
4. Legal Defense of Employees; and
5. Outside Consulting, Service Activities and Other Work.

In addition, members must read and understand the following Administrative Policies:

1. Direct and Indirect Charging;
2. Program Income; and
3. Record Retention.
PRINCIPAL INVESTIGATOR ELIGIBILITY ON SPONSORED PROJECTS

SECTION I. PURPOSE

University of Minnesota faculty on regular appointments are expected to contribute to the University’s research, teaching and outreach mission. The following policy has been developed to provide guidance to department and collegiate officials in reviewing research and/or training applications to be submitted for sponsored support. Units may develop additional or more restrictive standards regarding this matter; however, the minimum standards of this policy must be incorporated into department or collegiate policies and procedures.

SECTION II. DEFINITIONS

Subd. 1. Principal Investigator. “Principal investigator” means the individual primarily responsible for and in charge of a sponsored project.

Subd. 2. Professional and Administrative Employees. “Professional and administrative staff” means an employee whose primary position at the University is classified within the 93XX, 96XX, or 97XX series.

Subd. 3. Regular Faculty. “Regular faculty” means a faculty member with a tenure or probationary appointment.

Subd. 4. Sponsored Project. “Sponsored project” means a project funded with grants, contracts, and cooperative agreements, including but not limited to training, public service, research and cooperative projects.

Subd. 5. Term Faculty. “Term faculty” means a faculty member with an appointment for a specified length of time.

SECTION III. ELIGIBILITY FOR PRINCIPAL INVESTIGATOR STATUS

Subd. 1. Regular and Emeriti Faculty. Faculty who hold regular appointments, including emeriti, are automatically eligible to serve as principal investigators, subject to the terms of this policy.
Subd. 2. Term Faculty and Professional and Administrative Staff. Term and non-regular faculty, and other academic employees (such as P & A employees) are eligible to serve as principal or co-investigators on research grants and contracts and other sponsored projects upon approval by the department head and/or the dean of the unit in which the individual is employed according to policies established by the unit.

Subd. 3. Other Academic Employees. Individuals holding "graduate student/professional training" academic appointments are eligible to serve as principal investigators on sponsored projects that the funding agency has specified as programs for which students are eligible. Applications in this category must receive the approval of the department head and/or the dean of the college or school in which the student is registered. The department head and/or the dean must inform the applicant that his or her position as principal investigator in no way affects his or her status as a student, nor does it commit the University to any future employment.

Subd. 4. Non-Academic Employees. In unusual circumstances, employees holding non-academic titles may serve as principal investigators, subject to approval by the department head and/or the dean of the unit in which the individual is employed.

Subd. 5. Eligibility Criteria Stipulated by Funding Source. Some funding sources stipulate the criteria for principal investigators for their grants. Those criteria can be followed to the extent they are compatible with the University's criteria.

Subd. 6. Principal Investigator Roles and Responsibilities. Principal investigator roles and responsibilities are listed in the "Roles and responsibilities" section of the Vice President for Research's web site at: http://www.research.umn.edu/research.html.

SECTION IV. DETERMINATION OF PRINCIPAL INVESTIGATOR STATUS

The responsibility for determining the status of an individual as principal investigator rests with the department head or the dean who must exercise appropriate judgment regarding the individual's capability to provide the
scientific/technical leadership and administrative and financial management of the project. These must be the primary criteria for the determination of principal investigator status.

SECTION V. APPROVAL OF PROPOSALS

Subd. 1. Approval of Proposals by Department Heads, Deans, and Sponsored Projects Administration. Responsibility for the approval for all research and training project proposals rests with department heads, deans or comparable University officers, and ultimately the Sponsored Projects Administration (SPA). The SPA will not forward any application for sponsored support without the approval of the appropriate department head(s) and dean(s).

Subd. 2. Factors Considered in Approving Proposals. At least three factors enter into the decision of department heads and deans when approving or disapproving the Proposal. The proposer must have Principal Investigator status and in addition, there must be space to house the project and resources available to conduct and complete the project.

Subd. 3. Principal Investigator Training Required. Principal investigators must have completed all required training before any award documents will be released by the SPA.

SECTION VI. RELATIONSHIPS BETWEEN PRINCIPAL INVESTIGATOR, THE UNIVERSITY AND THE SPONSORED PROJECT.

Subd. 1. Grants and Contracts Awarded to the University. Grants and contracts for sponsored research and training projects are awarded to the University of Minnesota, rather than to individual investigators. Should the principal investigator, of whatever title, leave the University prior to completion of the project, the future of that project shall be governed by the terms of that contract/grant agreement, the wishes of the sponsor, or negotiations among the sponsor, the University, and the principal investigator, as is appropriate in the specific circumstances.

Subd. 2. Relationship of the Principal Investigator to the University. The relationship of principal investigator to the University is governed by the appointment document. The approval of individuals as principal investigators or co-investigators in no way affects the rights, claims, and duties
of such persons as may be specified in the tenure code or elsewhere. In particular, responsibilities as principal investigator or co-investigator do not imply any commitment on the part of the University of Minnesota to any subsequent appointment beyond the term of appointment then in effect.

Subd. 3. Affirmative Action/Equal Opportunity Provision. Appropriate affirmative action/equal opportunity policies and procedures apply to hiring non-regular or term academic and non-academic staff on sponsored research and training projects. Regardless of the availability or presumed availability of sponsored support, staff may not be hired independent of appropriate affirmative action policies and procedures.

Subd. 4. Rescinding Principal Investigator Status. An individual's status as a principal investigator may be rescinded for just, cause, but the individual may appeal the decision in accord with applicable University policies and procedures.
INTELLECTUAL PROPERTY

SECTION I. PURPOSE.

This policy exists to encourage research and innovation, clarify ownership of intellectual property rights, create opportunities for public use of University innovations, and provide for the equitable distribution of monetary and other benefits derived from intellectual property.

SECTION II. APPLICATION.

Subd. 1. Application. This policy applies to all faculty, staff, students, and any other persons employed by the University; to all persons receiving funding administered by the University or receiving other compensation from the University; and to all University-enrolled graduate students and post-doctoral fellows regardless of funding or employment status.

Subd. 2. Effective Date. This policy applies to intellectual property disclosed to the University after the effective date of this policy.

SECTION III. DEFINITIONS.

Subd. 1. Creator. "Creator" means the individual or group of individuals who invented, authored, or were otherwise responsible for the intellectual creation of the intellectual property, as defined in the applicable intellectual property statutes.

Subd. 2. Intellectual Property. "Intellectual property" means any invention, discovery, improvement, copyrightable work, integrated circuit mask work, trademark, trade secret, and licensable know-how and related rights. Intellectual property includes, but is not limited to, individual or multimedia works of art or music, records of confidential information generated or maintained by the University, data, texts, instructional materials, tests, bibliographies, research findings, organisms, cells, viruses, DNA sequences, other biological materials, probes, crystallographic coordinates, plant lines, chemical compounds, and theses. Intellectual property may exist in a written or electronic form, may be raw or derived, and may be in the form of text, multimedia, computer programs, spreadsheets, formatted fields in records or forms within files, databases, graphics, digital images, video and audio recordings, live video or audio broadcasts, performances, two or three-dimensional works of art, musical compositions, executions of processes, film, film strips, slides, charts, transparencies, other visual/aural aids or CD-ROMS.
Subd. 3. Net Income. "Net income" means the gross monetary payments the University receives as a result of transferring rights in the intellectual property less the University's out-of-pocket expenditures (including legal fees) directly attributable to protecting, developing, and transferring that intellectual property.

Subd. 4. Regular Academic Work Product. "Regular academic work product" means any copyrightable work product which is an artistic creation or which constitutes, or is intended to disseminate the results of, academic research or scholarly study. Regular academic work product includes, but is not limited to, books, class notes, theses and dissertations, course materials designed for the web, distance education and other technology-oriented educational materials, articles, poems, musical works, dramatic works, pantomimes and choreographic works, pictorial, graphic and sculptural works, or other works of artistic imagination. Software specifically needed to support a regular academic work product or which is designed to disseminate the results of academic research and scholarly study is also considered a regular academic work product.

Subd. 5. Employee. "Employee" means a person employed or otherwise compensated by the University, including faculty members, staff members, and students.

Subd. 6. Specially Commissioned Work. "Specially commissioned work" means a work specially ordered or commissioned and which the University and the creator expressly agree in a written instrument signed by them shall be considered as such.

SECTION IV. ADMINISTRATIVE PROCEDURES.

The president, in consultation with the vice president for research and the Faculty Senate, shall adopt procedures to implement this policy.

SECTION V. UNIVERSITY OWNERSHIP.

Subject to the exceptions in section VI, the University shall be the sole owner of all intellectual property created through the use of University resources or facilities, supported directly or indirectly by funds administered by the University, developed within the scope of employment by employees, agreed in writing to be a specially commissioned work, or assigned in writing to the University.
SECTION VI. EXCEPTIONS TO UNIVERSITY OWNERSHIP.

Subd. 1. Regular Academic Work Product. A regular academic work product is owned by the creator and not the University. This subdivision does not apply to a regular academic work product that is assigned in writing to the University or specifically ordered or commissioned and designated in writing by the creator and University as a specially commissioned work.

Subd. 2. Course Requirement. Intellectual property created solely for the purpose of satisfying a course requirement is owned by the creator and not the University. This subdivision does not apply if the creator assigns ownership rights in the intellectual property to the University in writing or assignment of such ownership rights to the University is made a condition for participation in a course.

Subd. 3. Pre-Existing Rights. If the intellectual property referred to in subdivisions 1 and 2 is a derivative of or otherwise uses preexisting University-owned intellectual property, this section shall not prevent the University from asserting its preexisting rights.

Subd. 4. Contractual Agreements. For intellectual property created in the course of or pursuant to activities that fall within and comply with the Board of Regents policy, Outside Consulting, Service Activities, and Other Work, ownership will be determined in accordance with the terms of the University’s agreement with the external party and applicable law.

Subd. 5. Outside Consulting Activities. For intellectual property created in the course of or pursuant to activities that fall within and comply with the Board of Regents policy, Outside Consulting, Service Activities, and Other Work, ownership will be determined in accordance with the terms of any agreement governing intellectual property developed pursuant to such activities.

SECTION VII. USE OF INTELLECTUAL PROPERTY.

Subd. 1. Rights to Publish. Nothing in this policy shall be construed as affecting the rights of a creator to publish, except that the creator must agree to observe a brief period of delay in publication or external dissemination if the University so requests and such a delay is necessary to permit the University to secure protections for intellectual property disclosed to it by the creator.
Subd. 2. Use of Teaching Materials. In order to facilitate joint work on teaching materials and support collaborative teaching, and notwithstanding the ownership rights otherwise granted by this policy, individuals who contribute teaching materials used in jointly developed and taught University courses thereby grant a nonexclusive, nontransferable license to the University to permit other contributors to the course to continue using those jointly produced teaching materials in University courses.

SECTION VIII. DISTRIBUTION OF INCOME.

Subd. 1. Academic Research or Scholarly Study. Unless otherwise agreed in writing by the University and creator, in the event that the University receives income from intellectual property that is derived from academic research or scholarly study, that is disclosed to and licensed or otherwise transferred by the University’s technology transfer unit, and that is not agreed in writing to be a specially commissioned work, any net income will be divided as follows:

(1) 33-1/3% to the creator;
(2) 33-1/3% to the Office of the Vice President for Research to support the University’s technology transfer unit and to support research and scholarly activity at the University;
(3) 8% to the creator’s colleges or schools that supported the creation of the intellectual property; and
(4) 25-1/3% to the department, division, or center that supported the creation of the intellectual property to be spent in support of the creator’s research or other directly related University work.

Subd. 2. Changes to Distribution. Changes to the distribution of income under subdivision 1, paragraphs (3) and (4) may be appropriate if the income to a department, division, or center becomes disproportionate compared to the unit’s budget or if there are administrative organizational changes, including movement of the creator among units. Decisions about redistribution of income under such circumstances shall be made by the vice president for research in consultation with the Senate Committee on Research and the deans of the appropriate colleges or schools.

Subd. 3. Other Intellectual Property. If the University receives income from intellectual property disclosed to and licensed or otherwise transferred by the University’s technology transfer unit and not covered by subdivisions 1 and 2, it may be appropriate to share some portion of the net income with the creator in the form of a bonus or other temporary salary supplement. Any such distribution will be made in the discretion of the vice president for research in consultation with the creator’s supervisor.
SECTION IX. UNIVERSITY RESPONSIBILITIES.

The University shall have the responsibility to:
(1) provide oversight of intellectual property management and technology transfer,
(2) establish effective procedures for licensing and patenting intellectual property,
(3) promote effective distribution and marketing of intellectual property,
(4) protect the University's intellectual property, and
(5) inform individuals covered by this policy about its provisions.

SECTION X. RESPONSIBILITIES OF APPLICABLE INDIVIDUALS.

Employees, all persons receiving funding administered by the University or receiving other compensation from the University, and all graduate students and post-doctoral fellows regardless of funding or employment status, have a responsibility to:
(1) adhere to the principles embodied in this policy;
(2) sign, when so requested by the University, the University's Intellectual Property Policy Acknowledgment;
(3) create, retain, and use intellectual property according to the applicable local, state, federal, and international laws and University policies;
(4) disclose promptly in writing intellectual property owned by the University pursuant to this policy or created pursuant to sponsored research or other contractual arrangements with external parties that are governed by section VI, subdivision 5, and assign title to such intellectual property to the University or its designee to enable the University to satisfy the terms of any applicable funding or contractual arrangement; and
(5) cooperate with the University in securing and protecting the University's intellectual property, including cooperation in obtaining patent, copyright, or other suitable protection for such intellectual property and in legal actions taken in response to infringement.

SECTION XI. COMPLIANCE.

Failure to comply with the provisions of this policy is a violation and may result in discipline of an employee in accordance with applicable University policies and procedures.

*This policy became effective on May 15, 2001 when the President accepted administrative procedures required for its implementation.
Guidelines for Dealing with Threatening Behavior and Violence in the Workplace

As managing members of the University of Minnesota campus community we have a special interest in preventing threatening and violent behaviors in the workplace. It is important to ensure an environment that does not allow intimidation, threats, or violence.

Despite best efforts, we know there is also a need to be prepared to act when such behaviors occur or appear likely to occur. Toward that end the following are recommended guidelines for all employees and managers.

1. Any individual should call the Crookston Police Department at 281-3111 or 9-911 for police assistance if he or she observes violence-taking place or feels there may be an immediate threat to someone's safety.

2. All faculty, staff, and student workers should immediately communicate to an administrator/supervisor any knowledge of violence or threat related behaviors including possession of a weapon in the workplace.

3. Administrators and supervisors should call 281-3111, or 9-911 or if they feel there is an emerging potential threat to someone's safety.

4. A concerned employee or manager may also call (612) 625-2000 (University of Minnesota Twin Cities Threat Assessment Group). If you call the Twin Cities Threat Assessment Group, follow the recorded instructions to get assistance. The Threat Assessment Group is made up of University mental health and law enforcement professionals. One of these persons will contact the caller to help decide what actions are needed. **Callers not being reached quickly enough by the Group, or needing advice after regular hours, should call 281-3111 or 9-911.**

Individuals who have questions or need clarification regarding University of Minnesota policies or procedures regarding threatening behavior or violence in the workplace are encouraged to contact Jim Meland, Faculty and Academic Staff Assistance Program, at (612) 625-4073 or Les Johnson, UMC Director of Human Resources at 281-8345. Other violence prevention resources available to you include the following:

- University of Minnesota Employee Assistance Program. Telephone: (612) 626-0253. www.umn.edu/ohr/eap
- University of Minnesota Faculty and Academic Staff Assistance Program. Telephone number (612) 625-4073
- University of Minnesota Human Resource Training and Development. Telephone number (612) 624-6550
- University of Minnesota Office of Disability Services. Telephone number (612) 624-4037
- University of Minnesota Office of Equal Opportunity and Affirmative Action. Telephone number (612) 624-9547
- University of Minnesota Office of the General Council. Telephone number (612) 624-4100
- University of Minnesota Grievance Officer (612) 624-1030
GRIEVANCE PROCEDURE

SECTION I. PURPOSE.

Subd. 1. Application. The University of Minnesota Grievance Policy ("UGP") is an internal University process for the good faith review and resolution of employment grievances filed by employees of the University, including faculty, academic professional and administrative staff, civil service staff and student employees. This policy does not cover employees of the University of Minnesota Hospital and Clinic ("UMHC"), and employees in bargaining units represented by labor organizations.

Subd. 2. Intention. The UGP does not, and is not intended to, create any legal rights for faculty members, students, staff, or other persons, and is not part of any contract between the University and its employees or any other individual. The substantive rights of employees, to the extent they exist and may be grieved, are established in other University rules, regulations, policies, and practices. However, the UGP may itself be the subject of a grievance. Nothing in the UGP is intended to limit the University's right to manage and direct its workforce and operations, including the University's right to adopt or alter any rule, regulation, policy or practice. An employee who chooses to proceed to phase IV arbitration shall be required to sign a waiver which, at that point, shall create contractual obligations between the University and the employee. The phase IV arbitration award is the only feature of this policy which is legally final and binding on both the University and the employee.

The intent of the UGP is to create an internal method for addressing grievances, and the policy is subject to change from time to time.

SECTION II. SCOPE OF GRIEVANCE POLICY.

Subd. 1. Definition of Parties. A grievance may be filed by one or more faculty, academic professional and administrative, civil service or nonacademic or academic student employees, except employees represented by a labor organization and UMHC employees. The person filing the grievance is the grievant.

The respondent is the University of Minnesota. The respondent's representative at each phase of the process is identified in this policy. A grievance may not be directed against another employee as an individual.

Subd. 2. Violation of Policy. A grievance must allege a violation of a specific University rule, regulation, policy or practice pertaining to the employment relationship
between the grievant and the University. This includes the terms of the grievant’s employment contract, alleged violations of this grievance policy, and discipline.

SECTION III. ACTIONS NOT COVERED.

Subd. 1. Discretionary Actions. Discretionary actions, such as salary adjustments and performance evaluations, may not be grieved, except to determine
(1) whether the discretionary action was made in accordance with relevant University rules, regulations, policies, practices, procedures, or criteria; and
(2) whether the action constitutes a clear abuse of discretion.

Subd. 2. Tenure Related Claims. Complaints involving promotion, denial of tenure, suspension or removal of a regular faculty member, or allegations of denial of academic freedom relating to teaching and research are not grievances under this policy. Such claims are governed by procedures contained in the Board of Regents policy, “Faculty Tenure.”

Subd. 3. Non-employment Related Student Claims. Student claims not relating to the employment relationship including but not limited to admission decisions, academic standing, grades, and cheating; are not grievable under this policy. Such claims are governed by procedures provided by the appropriate college, campus, or academic division.

Subd. 4. Sexual Harassment and Academic Misconduct Claims. Complaints alleging sexual harassment and academic misconduct are not grievances under this policy. Such claims shall be referred to the appropriate office for investigation and review. Discipline imposed on any employee, except employees represented by a labor organization or UMHC employees, including discipline imposed as a result of sexual harassment and academic misconduct proceedings, is a grievance under this policy.

SECTION IV. DISCRIMINATION CLAIMS.

Subd. 1. Filing Office. Any complaint alleging discrimination in the employment relationship, other than sexual harassment, may be filed either under this policy or with the Office of Equal Opportunity and Affirmative Action (“office”), but not both. If the complaint is filed with the office, the complaining party will not be entitled to any review under this policy. Respondents who are disciplined as a result of employment related discrimination complaints initially filed with the office may subsequently grieve the discipline under this policy.
The director of the office shall appoint a representative to serve as an ex-officio, nonvoting advisor to a phase III panel hearing any complaint alleging discrimination which has not been investigated and reviewed by the office.

SECTION V. ADMINISTRATION.

Subd. 1. University Grievance Officer. The university grievance officer ("UGO"), and any necessary additional staff, shall be appointed by the president after consultation with the Grievance Advisory Committee. The UGO will:

1. review each complaint to make an advisory determination whether the complaining party is covered by this policy, and whether the complaint is a grievance within the scope of the UGP. The UGO may provide counseling to complainants regarding appropriate procedures, and shall direct all complainants and complaints which are not "grievances" under this UGP to the correct forum;

2. forward all disputes regarding the appropriate University representative to the senior vice president for academic affairs for a final disposition;

3. administer the UGP process, including scheduling all meetings, receiving and forwarding all documents, and chairing the phases I and II, as necessary, meetings;

4. mediate as requested by the parties; and

5. prepare an annual report to include a summary of issues grieved and the decisions, which shall be published in the University Senate docket, and which shall be delivered to the Office of the Board of Regents, the president, Grievance Advisory Committee, Faculty Consultative Committee, Academic Staff Advisory Committee, Civil Service Committee, and Student Consultative Committee. The report must include a summary (prepared to protect the identity of individual grievants) of those instances in which the senior vice president for academic affairs has declined to accept the recommendations of a phase III hearing panel.

Subd. 2. Senior Vice President for Academic Affairs. The senior vice president for academic affairs shall have the final authority to determine the appropriate respondent's representative. The senior vice president for academic affairs will also designate the appropriate vice presidential areas and the responsible vice presidents (or equivalent officers, such as chancellors or vice-provosts). These decisions may not be contested in proceedings under the UGP.

Subd. 3. University Grievance Board. The University Grievance Board is a board of peer representatives able to serve on phase III hearing panels. It shall consist of at least five University employees from each of the following categories: faculty, academic professional and administrative staff, civil service staff, nonacademic student
employees, and academic student employees. Faculty representatives shall be appointed by the Senate Committee on Faculty Affairs, academic professional and administrative representatives by the Academic Staff Advisory Committee, civil service representatives by the Civil Service Committee, nonacademic and academic student employee representatives by the Student Senate Committee on Committees. The appointees in each category should be from broadly varied backgrounds, and should receive staggered two-year terms.

Subd. 4. Hearing Officers' Panel. The Hearing Officers' Panel is a separate group of employees designated and trained to serve as hearing officers. The Hearing Officers' Panel shall consist of five University employees from each of the following categories: faculty, academic professional and administrative staff, and civil service staff. The Senate Committee on Faculty Affairs, Academic Staff Advisory Committee and Civil Service Committee shall each prepare a list of ten University employees from the respective categories. The president may ask for more names from the committee. The president shall appoint from each list five employees to serve on the Hearing Officers' Panel for staggered three year terms. The UGO or an appropriate designee shall train all hearing officers for service as phase III presiding officers.

Subd. 5. Grievance Advisory Committee. The Grievance Advisory Committee will consist of one member appointed by each of the following groups: The Senate Committee on Faculty Affairs, the Academic Staff Advisory Committee, the Civil Service Committee, the Student Senate Committee on Committees, a chair appointed by the Senate Consultative Committee, and two administrative representatives appointed by the president. Appointments may be for terms of up to two years.

The Grievance Advisory Committee will advise the president regarding the selection of the UGO, the UGO's performance, and the operation of the UGP. The committee has no role in the disposition of individual grievances.

The Grievance Advisory Committee will undertake a thorough review of the functioning of this policy every five years and report its findings and recommendations to the president and University Senate. The first review shall commence on September 16, 1998.

SECTION VI. INITIATING A GRIEVANCE.

Subd. 1. Filing a Grievance. A grievance is initiated by filing a written statement of the grievance with the office of the UGO within 30 work days after
(1) the action being grieved occurred or commenced; or
(2) the grievant received notice or had knowledge of the action being grieved, whichever is later.

An alleged grievance will not be acted upon unless filed within the specified time, unless there are compelling reasons for delay.

Subd. 2. Contents. The written grievance must identify:
(1) the person grieving and the employment status;
(2) the action being grieved;
(3) the specific University rule, regulation, policy, or practice pertaining to employment, or provision of grievant's employment contract, alleged to have been violated;
(4) the person responsible for the action, if known, and the unit; and
(5) a proposed remedy which is within the authority of the University to grant.

Subd. 3. Copy to Respondent. The UGO shall forward a copy of the grievance to the person responsible for the action if identified, and if not, to the unit administrator, within five work days after the grievance is filed.

SECTION VII. PHASE I - INFORMAL MEETING.

Subd. 1. Purpose. The purpose of the phase I meeting is to facilitate grievance resolution through informal discussion and negotiation between the parties. The parties in this phase are the grievant and the administrator responsible for the action which is grieved.

Subd. 2. Timing. The UGO shall set an informal meeting with the grievant, the respondent, and the UGO within ten work days from the date the grievance was filed, unless there are compelling reasons for delay.

Subd. 3. Role of UGO. The UGO shall chair this meeting and explain the grievance process including relevant time limitations. The UGO should facilitate communication of information between the parties, and may make settlement recommendations as appropriate. Such recommendations shall be made solely to assist the parties in reaching a speedy and fair resolution.

Subd. 4. Continuation of Phase I Meetings. By express mutual consent of the parties, the phase I meetings may be continued for a specified period of time to enable the parties to consider a proposed resolution. Absent express mutual consent, the phase I meeting shall be deemed to conclude when the parties leave the meeting.
Subd. 5. Conclusion of Phase I Meetings. Within five work days of the conclusion of the phase I meeting, the phase I University representative shall submit a written answer to the grievance to the UGO and the grievant. If the grievant chooses to proceed to phase II, the grievant must submit a written notice of intent to proceed to the UGO and the respondent within five work days after the date the grievant received the phase I written answer, unless there are compelling reasons for delay.

SECTION VIII. PHASE II - MEETING WITH SUPERVISOR.

Subd. 1. Purpose. The purpose of the phase II meeting is to facilitate grievance resolution by informing and involving higher University administration. The parties are the grievant and the supervisor of the phase I University representative or a designee.

Subd. 2. Timing. The UGO shall set a meeting within ten work days from the date of the UGO’s receipt of the grievant’s notice of intent to proceed, unless there are compelling reasons for delay.

Subd. 3. Attendance. The meeting shall be attended by the grievant and an appropriate supervisor of the phase I University representative. The phase I University representative may appear at the request of the supervisor. The vice president for the unit in which the grievant is employed shall be notified by the UGO of the phase II meeting, and has the authority to designate the appropriate supervisor to attend this meeting.

Subd. 4. Role of UGO. The UGO shall chair the meeting and explain the grievance process including relevant time limitations. If all parties agree, the UGO may continue to serve as a mediator in a settlement facilitating role.

Subd. 5. Continuation of Phase II Meetings. The phase II meetings may be continued for a specified period of time to enable the parties to consider a proposed resolution by express mutual consent of the parties. Absent express mutual consent, the phase II meeting shall be deemed to conclude when the parties leave the meeting.

Subd. 6. Conclusion of Phase II Meetings. Within ten work days after the phase II meeting concludes, the phase II University representative must submit a supplemental written response to the grievance to the UGO and the grievant. Any jurisdictional challenges must be included in the supplemental response, if not already raised in the initial response.
Subd. 7. Notice of Intent to Proceed. If the grievant is not satisfied with the supplemental response, the grievant must deliver a written notice of intent to proceed to phase III to the UGO and the phase II University representative within ten work days after receipt of the phase II supplemental response, unless there are compelling reasons for delay. The grievant may amend the grievance by delivering a written amendment with the notice of intent to proceed.

Subd. 8. Amending the Grievance. If the grievant amends the grievance, the phases I or II representative may file a written response to any new issues within ten days of receipt of the amended grievance.

SECTION IX. PHASE III - PANEL HEARING.

Subd. 1. Purpose. The purpose of phase III is to provide an internal evidentiary hearing by a three person panel. The parties are the grievant and the vice president for the unit (or the president if the unit reports directly to the president). The vice president (or, if applicable, the president) may designate a representative to act on behalf of the University.

Subd. 2. Panel Members. The UGO shall convene the phase III hearing panel. The panel shall consist of one member of the University Grievance Board chosen by the grievant, one designee of the vice-president of the unit in which the grievant is employed (or by the president, if the unit reports directly to the president), and one hearing officer from the Hearing Officers’ Panel. The UGO shall select a hearing officer of the same employee category (faculty, academic professional and administrative, or civil service) as the grievant. If the grievant is a student employee, the hearing officer shall be from the faculty, academic professional and administrative or civil service employee categories as determined by the student grievant. No panelist shall have a direct interest in the grievance.

The grievant and the vice-president’s designee shall inform the UGO of their selections within five work days after delivery of the intent to proceed to phase III. The UGO shall promptly convey the names of the three panel members to all parties.

Subd. 3. Peremptory Challenge. The grievant and the University representative each have the right to peremptorily challenge the person selected as hearing officer by the UGO within five work days of receipt of notice of the selection. The UGO will then select another hearing officer from the Hearing Officers’ Panel. There is no further right to peremptory challenges.
Subd. 4. Timing. The UGO shall schedule the phase III hearing within 30 work days from the date of the UGO's notice of intent to proceed, unless there are compelling reasons for delay.

Subd. 5. Panel Decision. The hearing officer will direct the course of the phase III hearing. After the phase III hearing, the panel shall prepare a decision consisting of a statement of the issues, contentions of the parties, findings of fact, opinion and award, if any. A majority of the panelists is required to reach a decision. The decision shall be issued within 30 work days of the close of the record, and shall be signed by the panel members concurring in it. The decision shall be sent to the UGO, who shall promptly distribute it to the parties and to the senior vice president for academic affairs.

Subd. 6. Response to Decision Favorable to Grievant. If the phase III panel decision is favorable to the grievant, the University will implement it, unless the senior vice president for academic affairs delivers a written notice to the UGO and the grievant within ten work days of the receipt of the phase III panel's decision stating that the decision is not acceptable and the reasons why it is not acceptable. In this event, the grievant may request phase IV arbitration.

Subd. 7. Response to Decision Not Favorable to Grievant. If the decision of the phase III panel is not favorable to the grievant, the grievant may choose to proceed to phase IV arbitration. If the phase III decision is not acceptable to the University, or if it is not favorable to the grievant, the grievant must deliver a written notice of intent to proceed to phase IV to the UGO and the phase III University representative within ten work days after the grievant received the phase III hearing panel decision or the senior vice president's notice, whichever occurred last, unless there are compelling reasons for delay.

Subd. 8. Agreement of Binding Arbitration. If the grievant chooses to proceed to arbitration, the grievant shall sign an acknowledgment of the voluntary choice to proceed to binding arbitration to resolve the grievance and/or discovery dispute, and shall waive and release all rights to pursue substantially the same claim in any other forum.

SECTION X. PHASE IV - ARBITRATION.

Subd. 1. Purpose. The purpose of phase IV is to provide an opportunity for the parties to voluntarily engage in final and binding arbitration of a discovery dispute by a neutral arbitrator and of the grievance by a three person panel. The representative parties are the grievant and the president or a designee.
Subd. 2. Panel Members. The UGO shall convene the arbitration panel. The panel shall be chaired by a neutral arbitrator who shall direct the course of the phase IV hearing. The UGO shall obtain a list of five arbitrators from the state of Minnesota Bureau of Mediation Services. In cases involving faculty or academic professional and administrative staff, the bureau shall randomly select the names from a roster of no fewer than 25 non-Minnesota resident members of the National Academy of Arbitrators holding either tenured faculty rank or emeritus status in a university located in the United States, other than the state of Minnesota. In cases involving civil service or student employees, the bureau shall randomly select the names from its own roster of grievance arbitrators. Within ten work days of receiving the list, the grievant and University representative shall alternate in striking names from the list until a single arbitrator’s name remains. The party to strike first shall be determined by the toss of a coin.

In addition to the arbitrator, the panel shall consist of a University Grievance Board member selected by the grievant, and a designee of the vice president of the unit in which the grievant is employed. These panelists may, but need not be, the same persons who served on the phase III panel. The parties shall inform the UGO of their panel member selections within five work days of receipt of the list of arbitrators.

The UGO shall notify the panel members of their selection, and shall coordinate scheduling of the arbitration hearing.

Subd. 3. Role of the Neutral Arbitrator. The neutral arbitrator shall conduct all preliminary hearings required to reach final decisions in discovery disputes over access to documents and information.

Subd. 4. Panel Decision. The panel shall issue a decision within 30 work days from the date of the close of the record. A decision shall be made by a majority of the panelists. The decision shall be in writing, and shall include a statement of the issues, contentions of the parties, findings of facts, and opinion and award, if any. The decision shall be sent to the UGO, who shall distribute it to the parties promptly. The decision is legally binding.

Subd. 5. Expenses. The grievant and the University shall each be responsible for one-half of the arbitrator’s fees and expenses. There will be no charge for participation by the other representatives on the phase IV panel. The parties shall be responsible for their own expenses.
SECTION X. GENERAL RULES.

Subd. 1. Time Limits. A work day is defined for purposes of this policy as a day the University is open, but does not include weekends and holidays. Compelling reasons for delay include days on which the employee was not on the payroll of the University, or was on authorized vacation or leave, except for determining the initial filing deadline.

When the grievant fails to file or process a grievance within the time limits set forth above, unless there are compelling reasons for the delay, the grievance shall be deemed to have been waived. At each phase in the grievance procedure the parties may agree to waive the time limits, or to skip any phase, by express mutual consent.

The University representative’s failure to produce the requisite written responses following the close of phases I, II, and III sessions shall not limit the grievant’s rights to appeal to the next relevant phase of the process.

Subd. 2. Due Process. All parties have the right to be present throughout all phases III and IV proceedings, to submit evidence, and to cross-examine adverse witnesses. The rules of evidence used in courts of law shall not apply. In cases not involving the imposition of discipline, the grievant has the burden of demonstrating the violation of University rule, regulation, policy, or practice. In cases in which discipline has been imposed, the respondent has the burden of demonstrating the violation of University rule, regulation, policy, or practice and the appropriateness of the sanction.

Subd. 3. Duty to Provide Discovery. Parties shall comply with all reasonable requests for information relevant to the grievance, provided such disclosure is consistent with law. Hearing officers and neutral arbitrators have no authority to require disclosure of information which is inconsistent with any law, particularly the Minnesota Government Data Practices Act and the Federal Educational Rights and Privacy Act. In order to comply with confidentiality obligations of the University, a party and panel members may be required by the University, at its sole discretion, to sign and abide by a confidentiality agreement before certain information may be released for the limited purpose of a grievance hearing.

Subd. 4. Discovery Contests at Phase II. If the parties cannot resolve a dispute over access to documents or information, the UGO shall refer the matter to the hearing officer for a preliminary hearing for the limited purpose of resolving the discovery dispute. The hearing officer may confer with the UGO regarding guidelines for access to documents or information. The hearing officer shall issue a decision within five work days after the close of the record, and deliver copies of the discovery decision to the UGO and to the parties.
GRIEVANCE PROCEDURE
Adopted: April 16, 1993

UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY
Page 11 of 12

(a) If the hearing officer’s discovery decision is not challenged within five work
days after its receipt, the UGO shall promptly schedule a phase III hearing.

(b) If either the University representative or the grievant objects to the hearing
officer’s discovery decision, the objecting party must deliver written notice to the UGO
and to the opposite party within five work days after receipt of the hearing officer’s
discovery decision. In either case, since arbitration is voluntary under this policy, within
five work days following the five work days challenge period, the grievant shall
unilaterally determine, through written notice delivered to the UGO and the University
representative, the avenue to be followed to resolve the discovery dispute. The grievant’s
choices are as follows.

1. The discovery issue may be decided through legally binding arbitration as set
forth in phase IV of this policy except that the neutral arbitrator shall hear and decide
discovery issues without a phase IV panel. The neutral arbitrator shall issue a decision
within ten work days after the close of the record. Under this avenue, the UGO shall
schedule the phase III hearing within 30 work days from the date of the UGO’s receipt
of the neutral arbitrator’s discovery decision.

2. The grievance issue may proceed to a phase III panel hearing on its merits.
However, the decision to proceed to a phase III panel hearing shall not be construed as
a waiver of the grievant’s right to subsequently appeal to phase IV the hearing officer’s
discovery decision and the phase III panel’s decision on the grievance. Under this avenue,
the UGO shall promptly schedule a phase III hearing.

Subd. 5. Subpoenas. At the request of either party, the arbitrator may issue
necessary subpoenas as provided by law.

Subd. 6. Advocates. Grievants may be represented by employee advocates
throughout the process. If the grievant wishes to be represented by an attorney, including
an employee advocate who is an attorney, the grievant must promptly inform the UGO
and the respondent. The University administrator may be represented by an attorney
provided by the Office of the General Counsel, only if an attorney represents the grievant
(including an employee advocate who is an attorney), or if the grievant is an attorney.

Subd. 7. Confidentiality. The UGO and hearing panels shall not disclose any
documents or information concerning a grievance except as necessary to comply with
procedures for conducting the hearing, or as permitted or required by law. All hearings
will be closed to the public.

Subd. 8. Witness Testimony. Every member of the University community is
strongly encouraged to be cooperative if they are requested to provide testimony at a
hearing under this policy.
Subd. 9. Awards. No panel under the UGP shall have any authority to issue a financial award to any employee beyond back pay and benefits actually lost, together with reinstatement. No panel shall have authority to order compensation for fees and expenses of advocates, pain and suffering, emotional distress, penalties or punitive damages.

Subd. 10. Enforcement. It is the responsibility of the University to faithfully carry out its responsibilities under this policy, and to enforce the terms of any binding decision under this policy. The University’s deferral of jurisdictional challenges until phases III and IV is not a waiver of its right to raise these challenges at phases III and IV.
Drug-Free Workplace

September 13, 2004

TO: All Employees and Students of the University of Minnesota

FR: President Robert H. Bruininks

RE: DRUG-FREE CAMPUS AND WORKPLACE COMPLIANCE

Revised: March 2005: Updated Duluth EAP information.

Revised: September 2004. Updated Duluth phone numbers in Educational and Treatment Programs section.

Revised: October 2003. Updated Educational and Treatment Programs section.


Revised: November 2001. Updated phone numbers in Educational and Treatment Programs section.

Revised: December 2000. Added information about resources available to students.

Revised: December 1999. Changed SANCTIONS section to show Associate VP and changed name of ORTTA to SPA, changed Morris contact name and phone number.

Revised: December 1998. Clarified language in sanctions section, and added links to state law and health risks information.

Revised: September 1998. Updated Employee Assistance Program Contacts.

Previous versions: 1995, 1997

To obtain a copy of a historical policy, e-mail the U Policy Librarian at process@tc.umn.edu or call 624-4372.

PROHIBITED ACTIONS

Drug and alcohol abuse affects the health, safety, and well-being of all employees and students and restricts the University's ability to carry out its mission. Therefore, the University of Minnesota:

1. Prohibits the unlawful possession, use, or distribution of alcohol and illicit drugs by employees on all campuses and at all facilities of the University or as part of the University's activities; and

2. Prohibits the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances in the workplace.

SANCTIONS

Employees who violate the prohibition against illicit drugs and alcohol are subject to discipline up to and including dismissal, consistent with existing policies and contracts. Possible discipline includes suspension or warnings, and also may include required completion of an appropriate treatment or rehabilitation program. Sanctions will reflect the particular violations and their severity. Referral for criminal prosecution may occur where appropriate.

Employees who are convicted of a drug crime in the workplace must report it to a supervisor within five days. Supervisors, department heads, or principal administrators who are aware of any criminal drug-statute convictions for violations that occurred in the workplace must report them to the Associate Vice President, Sponsored Projects Administration (SPA) within three calendar days of their notice of the conviction.

Students who violate the prohibition against illicit drugs and alcohol are subject to discipline. Item 11 of the Student Conduct Code states:

> When the violation of a federal or state law, including but not limited to those governing alcoholic beverages, drugs, gambling, sex offenses, indecent conduct or arson occurs on campus, the offense will also constitute an offense against the University.

Potential sanctions for violation include: 1) warning and admonition; 2) required compliance; 3) confiscation of illicit drugs or alcohol; 4) probation 5) suspension or expulsion; and 6) referral for criminal prosecution.

EDUCATIONAL AND TREATMENT PROGRAMS

Services for students and employees include: diagnosis and assessment, short-term counseling, referral, and support groups. Consultation also is available for supervisors whose staff members may have alcohol- and/or drug-related problems. Federal law requires that any information obtained from clients or patients by doctors, psychologists, or drug treatment centers remain confidential. This makes it possible for people to receive help for drug problems without getting into trouble with the law.

Students seeking professional help for a drug- and/or alcohol-abuse problem can contact:

**Twin Cities:**
- Boynton Health Service (612) 624-1444
  - [http://www.bhs.umn.edu](http://www.bhs.umn.edu)

**Duluth:**
- UMD Health Services (218) 726-8155
  - [http://www.d.umn.edu/depts/Listing/health_serv_umd.html](http://www.d.umn.edu/depts/Listing/health_serv_umd.html)

**Morris:**
- UMM Health Service (320) 589-6070
  - [http://www.mrs.umn.edu/services/hlth_serv/index.shtml](http://www.mrs.umn.edu/services/hlth_serv/index.shtml)

**Crookston:**
- Northwestern Mental Health Center (218) 281-3940
  - 24-hour Northwestern Mental Health Center Crisis Line 1-800-282-5005
  - [http://www.crk.umn.edu/people/services/CAREER/aodap/](http://www.crk.umn.edu/people/services/CAREER/aodap/)

Employees seeking professional help with a drug- and/or alcohol-abuse problem can contact the Employee Assistance Program at the following locations:

**Twin Cities:**
- Civil service and bargaining unit employees (612) 626-0253
- Faculty and academic staff (612) 625-4073

**Duluth:**
- UMD Employee Assistance Program (EAP), 218/249-7077 or 1/888-355-8495

**Morris:**
- Stevens Community Medical Center, (320) 589-7625

**Crookston:**
- Northwestern Mental Health Center (218) 281-3940
- 24-hour Northwestern Mental Health Center Crisis Line 1-800-282-5005

Employees' health insurance may cover some or all of the costs of assistance and/or treatment.

**HEALTH RISKS OF USE/ABUSE**

Information about the health risks of drug use and abuse can be accessed through the following web site:


**MINNESOTA CRIMES AND PENALTIES - DRUGS**

Information about Minnesota controlled substance crimes and penalties can be found at the following web site:

- [http://www.revisor.leg.state.mn.us/stats/152/](http://www.revisor.leg.state.mn.us/stats/152/)

**MINNESOTA CRIMES AND PENALTIES - ALCOHOL**

Information about Minnesota alcohol-related crimes and penalties can be found at the following web site:

- [http://www.revisor.leg.state.mn.us/stats/169A/](http://www.revisor.leg.state.mn.us/stats/169A/)
- [http://www.revisor.leg.state.mn.us/stats/340A/](http://www.revisor.leg.state.mn.us/stats/340A/)

**FEDERAL DRUG TRAFFICKING PENALTIES**

Information about federal drug trafficking penalties can be found at the following web site:

- [http://www.usdoj.gov/dea/agency/penalties.htm](http://www.usdoj.gov/dea/agency/penalties.htm)
Privacy Statement

Comments: process@hs.umn.edu
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Policy and Process Development Office. All Rights Reserved.
The University of Minnesota is an equal opportunity educator and employer.
http://www.fpd.finop.umn.edu/groups/ppd/documents/Policy/Drug_Free.cfm
Updated: March 24, 2005

Higher Learning Commission Criterion Four Core Component 4D

The organization provides support to ensure that faculty, students, and staff acquire, discover, and apply knowledge responsibly

UMC academic and student support programs contribute to the development of student skills and attitudes fundamental to responsible use of knowledge.

UMC student orientations, course syllabi, class schedule publications, and student policy manuals all provide information about responsible conduct and academic integrity.  

UMC student clubs and organizations are faculty and staff sponsored to provide mature guidance to student members. All clubs must perform two community service activities each semester to receive financial support from the university. Service learning is an integral component of many UMC classes. Thousands of student service hours are volunteered each year to community organizations and citizens by UMC classes and student organizations. (FFA, Agarama, Equine Extravaganza, SIFE projects, Early Childhood Parent/Child Carnivals, etc.)

UMC follows explicit policies and procedures to ensure ethical conduct in its research, instructional, and social activities.

UMC faculty, staff, and students are trained on policy regarding responsible and ethical behavior as it relates to consulting, publishing, research, grant writing, conduct, animal rights, and other academic related activities and ventures.

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d1  sample class schedule
    sample course syllabi
    http://www1.umn.edu/regents/policies/academic/StudentConductCode.pdf,
    Service learning records
    Community service records

d2  http://www1.umn.edu/regents/policies/academic/Conduct.pdf
    http://www1.umn.edu/regents/policies/academic/PrincipalInvestigator.pdf
    http://webhome.crk.umn.edu/~ljohnson/HR/Violence.doc
    http://webhome.crk.umn.edu/~ljohnson/HR/grievance.pdf
RESEARCH INVOLVING HUMAN SUBJECTS

SECTION I. SCOPE.

This policy governs all research involving human subjects conducted at the University of Minnesota (University) or by University faculty, staff, or student researchers.

SECTION II. COMPLIANCE WITH FEDERAL CODE.

Subd. 1. Roles. The federal government requires the University to designate the Institutional Review Board (IRB) to ensure that research covered under this policy meets federal requirements. The president or delegate is responsible for overseeing the IRB. University officials may not approve research covered under this policy if it has not been approved by the IRB. However, University officials are authorized to decline to conduct research previously approved by the IRB.

Subd. 2. Compliance with Federal Regulations. All research subject to this policy shall be conducted in accordance with federal regulations, including, but not limited to, the Department of Health and Human Services’ Guidelines for Protection of Human Research Subjects 45 Code of Federal Regulations (CFR) 46, and Food and Drug Administration regulations to protect human subjects, 21 CFR 50, 56, 312, 812.

SECTION III. COMPLIANCE PROVISIONS.

Subd. 1. Appointments. The president or delegate shall appoint members of the IRB in accordance with federal regulations.

Subd. 2. Responsibilities of the IRB. In conjunction with the president or delegate, the IRB and its staff shall provide assurance that all University faculty, staff, and student researchers comply with applicable federal regulations and guidelines. The IRB also shall:

(a) review and approve, require modifications to, or disapprove all research covered under this policy;

(b) monitor and conduct continuing review of research at intervals of at least once annually; and

(c) report to appropriate University and federal government officials:
(1) any unanticipated problems involving risks to subjects or serious
or continuing noncompliance with IRB requirements; and

(2) any suspension or termination of IRB approval of research.

Subd. 3. Other Responsible Parties. It is the responsibility of the president or delegate and
each principal investigator to implement decisions of the IRB.

Subd. 4. Authorities of the IRB. The IRB is authorized to:

(a) inspect research facilities;

(b) obtain records and other relevant information relating to the use of human
subjects in research;

(c) observe the consent process or conduct of research directly or through third
parties;

(d) suspend or terminate research not conducted in accordance with the IRB’s
requirements or research associated with unexpected serious harm to
subjects;

(e) oversee research at other organizations pursuant to appropriate inter-
institutional agreements; and

(f) take other actions as necessary to ensure compliance with federal guidelines
and regulations, other applicable federal and state law, Board of Regents
policies, and administrative policies and procedures.

Subd. 5. Administrative Policies. The IRB, with responsible oversight by the president or
delegate, shall maintain appropriate administrative policies and procedures to implement this policy.