

4/13/07



Provost Gayle Davis, Ph.D.
24 JH Zumberg Library Building
GVSU
Allendale, MI

April 4, 2007

Dear Provost Davis,

In the fall of 2005, your office requested Dean Kimboko to review, comment and suggest changes to the current policy on research misconduct. In October, 2005 I was appointed by Dean Kimboko to chair a University wide task force on research integrity as part of that effort. We developed a new policy on research integrity which was approved by your office, the University Academic Senate, the University President and in June, 2006, by the Board of Trustees. Following the policy's approval we began work on implementation procedures.

Our task force has now completed development of a set of procedures for responding to allegation of research misconduct at GVSU. We are requesting your office to ask the Dean's Council to review and concur with these procedures. Following that concurrence we plan to send it to the UAS for concurrence, and then to you for final approval and adoption. The last step will be to put these procedures, along with the research integrity policy, on the University website.

Two points bear noting. First, these procedures are based on the recommended procedures put forth by the HHS Office of Human Research Protections and are aimed at fact-finding only. Although they include making recommendations to your office for disciplinary actions in cases of established misconduct, the recommendations are non-binding. Therefore, we have not included any provision for an appeal of findings of fact. Grievances concerning disciplinary actions would be handled following the usual and established procedures.

Second, the task force believes that wide dissemination of the new policy and procedures on research integrity should be made prior to the convocation of classes fall term, 2007.

Sincerely Yours,

Paul J. Reitemeier, Ph.D.
Chair, University Task Force on Research Integrity

4/13/07

Grand Valley State University

Procedures for Responding to Allegations of Research Misconduct

April 2007

**Task Force on Research Integrity
Paul J. Reitemeier, Ph.D., Chair**

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I. Introduction

To implement section 493 of the Public Health Service Act and section 2058 (a) (2) (c) of the Anti Drug Abuse Act of 1988, Grand Valley State University, in seeking federal funds, is required to establish and abide by uniform policies and procedures for investigations and reporting instances of alleged or apparent misconduct involving research, training, or related research activities. Unit heads shall also inform faculty, students, and staff of the content of this document and of the University's expectation of maintenance of the highest standards of scientific integrity.

This procedure is based on "Model Procedures for Responding to Allegations of Scientific Misconduct", developed by the U. S. Department of Health and Human Services, Office of Research Integrity (ORI). The ORI model procedures were created for academic and other institutions to use in developing policies for handling allegations of research misconduct. This procedure also incorporates some of the language and best practices utilized by GVSU peer institutions in addressing allegations of research misconduct. For further guidance see: <http://ori.dhhs.gov/>

This procedure describes the steps for responding to an allegation of misconduct in research, scholarship, or creative activities. An allegation of misconduct may come from within or outside the University community. The procedures provide a framework for assessing an allegation, conducting an inquiry, investigating an allegation that has merit, and reviewing and evaluating the findings and recommendations of an investigation committee.

II. Grand Valley State University Policy on Research Integrity

The following is the Grand Valley State University policy on research integrity. The policy is located in the Administration Manual, Chapter 4, Section 1.10.4.

Research Integrity

Research, scholarship and creative activities are central to fulfilling the mission of the University. It is the Policy of the University that all employees, students, partners and affiliates always perform their roles related to research, scholarship and creative activity with ethical integrity. This requirement reflects a culture publicly committed to developing and fostering the highest standards of professional ethics. Research integrity is demonstrated in the decisions and actions that exemplify our core ethical values.

Core Ethical Values:

The core ethical values in research related activities, including scholarship and creative performance, include: (1) truthfulness and honesty; (2) nonmaleficence and beneficence; (3) trustworthiness, reliability, confidentiality, respect, and collegiality; and, (4) accountability.

(1). Intellectual and creative activities require truthfulness and honesty in proposing, conducting and reporting research related activities, scholarship and artistic performance.

(2). Endeavors involving human or animal subjects require balancing nonmaleficence with beneficence in minimizing burdens to research subjects in relation to the potential benefits to those subjects and others.

(3). Research integrity requires trustworthiness and reliability in recognizing and building on the prior work of others, confidentiality in peer review and assessment, and respect and collegiality in interactions with colleagues and students.

(4). The broader community's welfare depends upon explicit researcher accountability for all research, scholarship and creative performance related activities, and for reporting misconduct about which one has direct knowledge.

III. Applicability of Policy and Procedures

The GVSU policy on research integrity and this procedure apply to all members of the Grand Valley State University community including employees, students, partners and affiliates involved in research and/or proposals for research at the University and all research, scholarship, and creative activities conducted by such individuals, regardless of funding source.

However, research undertaken in fulfillment of a course requirement (unless there is an expectation of publication or dissemination outside the University of the results of such research) is not addressed by this procedure. Such actions are provided for in the GVSU Student Code under Academic Honesty.

IV. Allegations of Research Misconduct: Preliminary Assessment

Note: for glossary of abbreviations and terms see Appendix D

A). Making an allegation

Any person knowledgeable of misconduct in research, scholarship, or creative activities conducted by persons associated with or functioning under the auspices of Grand Valley State University, or one of its affiliates is responsible for immediately communicating the allegation in good faith.

- 1). Allegations of research misconduct are made by a complainant to any Institutional Official or to the Research Integrity Officer (RIO) who is the Dean of Graduate Studies and Grants Administration.
- 2). The RIO or Institutional Official will discuss the allegation in light of university policy concerning research misconduct, and help the complainant clarify relevant matters of fact pertaining to alleged research misconduct. The complainant shall be made aware that before there can be a formal inquiry and the investigative process, the complainant must formally submit the allegation in writing.

- 3) Any Institutional Official or SCRI member receiving an allegation of research misconduct shall direct the complainant to discuss the allegation with the RIO, and/or immediately forward the complainant's written and signed allegation to the RIO. If the initial complainant wishes to not participate in the procedures, the institutional official or SCRI member who receives the complaint may elect to become the direct complainant based on information received, and to submit a written allegation to the RIO. The identity of the initial complainant would thereby be made anonymous to all subsequent parties involved.
- 4) Upon receiving a written allegation of research misconduct, the RIO will promptly conduct a preliminary assessment of the allegation. A determination shall be made by the RIO within 15 days as to whether the allegation credibly involves research misconduct as defined by GVSU policy, and whether there is sufficient information to proceed with a Standing Committee on Research Integrity (SCRI) inquiry. The RIO will make all reasonable efforts to resolve issues of alleged misconduct before pursuing an inquiry and formal investigation process.
- 5) If the RIO determines that the allegation clearly does not fit the GVSU policy of research misconduct, a written explanation of the reasons shall be provided to the complainant. If the RIO determines that a case of non-research misconduct may have occurred, the RIO shall refer the matter to the appropriate university or federal office. If the RIO determines that the allegation of research misconduct was filed in bad faith, a report to the Office of the Provost shall be made.
- 6) If the RIO determines that the allegation does fit the GVSU policy of research misconduct and there is sufficient information to warrant an inquiry, the RIO shall initiate the three- phase process described below under Part IV., subpart C. In this case all reasonable steps shall be taken to treat the respondent with fairness and respect, and a presumption of innocence pending final resolution of the inquiry of investigation. This includes ensuring confidentiality of information regarding the complainant, the respondent, and others involved in the inquiry and investigative process. Careful documentation of all procedures is integral to every procedural step.
- 7) All reasonable steps will be taken by all those involved to protect the position and reputation of the complainant. Disclosure of the identity of the complainant and respondent in misconduct proceedings shall be limited, to the extent possible, to those who need to know. Any alleged or apparent retaliation against such individual(s) should be immediately reported to the RIO.

B). Circumstances Requiring Immediate Action

The RIO shall immediately consult with the University Counsel and take appropriate action, if for any reason during the assessment, inquiry, or investigation processes, the RIO obtains reasonable, credible evidence of any of the following:

- 1). a possible criminal violation

- 2). an immediate health hazard or other imminent risk of danger to public health or safety to research subjects or investigators
- 3). the need to protect the funds or equipment of any governmental or other sponsor of research, or to assure compliance with the terms of a sponsored agreement or contract
- 4). the need to protect the reputations of any persons involved in the proceeding
- 5). the need to prevent the loss, destruction, or alteration of any evidence relevant to the University's review of an allegation of misconduct
- 6). the need to prevent or stop an imminent or continuing violation of an applicable law, regulation, or other governmental requirement or a University rule, policy or procedure
- 7). the probable public disclosure of an allegation of misconduct or of any proceeding

The RIO has the authority, at any point during the proceedings, to seek the consultation or assistance the Office of the University Counsel or its designee.

The RIO shall immediately notify the University President, Provost, and the pertinent government official or sponsor of such immediate action. In consultation with the University Counsel, the RIO shall promptly make recommendations to the President and Provost, regarding appropriate responsive action.

C). The Three-Phase Process of Responding to an Allegation

A finding of research misconduct requires all three of the following evidentiary standards be met.

- A significant departure from accepted practices of the relevant research community;
- Research misconduct was committed intentionally, knowingly or recklessly; and
- An allegation be proven by a preponderance of evidence

If the RIO determines during the preliminary assessment there is sufficient information to warrant an inquiry, the RIO shall initiate the three- phase process to respond to an allegation. The three phases are:

1) Inquiry. During an inquiry the RIO works with the 3 member SCRI panel to gather preliminary information and facts to assess whether the allegation has substance and merits a formal investigation. The purpose of the inquiry is not to reach a final conclusion, but to issue an Inquiry Report on a preliminary evaluation of the available evidence to determine whether a formal investigation into research misconduct is warranted. The SCRI panel's Inquiry Report is transmitted to the Provost and serves as the basis for the Provost to determine whether closure or continuance is most appropriate.

2). Investigation. The investigation phase explores in detail the allegation, examines the evidence in depth, and develops a factual record with respect to the allegation. This record is evaluated to determine whether the evidence merits a finding of research misconduct, and serves as the basis for any recommendations for preventive actions, disciplinary options, or both. The findings and recommendations of the investigation committee will be issued in a formal Investigation Report that is advisory to the Provost.

3). Adjudication. Adjudication is the formal procedure for reviewing and evaluating the evidence and conclusions in the Investigation Report and the recommendations for actions by the IC . The Provost decides whether to accept the IC recommendations or to provide alternative recommendations to the President. A copy of the Investigation Report and the Provost's own written decision is given to the University President. The President issues final directives for actions and reporting as required by law or contractual arrangement. The President's decisions and directives are final, binding, and not subject to appeal.

V. Phase One: Inquiries into Research Misconduct

A). Conducting an Inquiry

1) Notifications. Within 2 calendar days of receiving a credible written allegation of research misconduct, the RIO shall notify each of the following three individuals: Provost, University Counsel, Appointing Official of the respondent.

2) Sequestration of research related materials. The RIO shall obtain the necessary and relevant research records and related materials to conduct an assessment of an allegation. All relevant materials shall be immediately located, obtained, inventoried, sequestered and secured in order to prevent, loss, alteration, or the creation of fraudulent records. The RIO will lock all records and materials in a secure place. Sequestration must begin on or before notification of the respondent. (see: 42 CFR 93). Return of the materials to the respondent shall be made when appropriate following completion of the response to allegation procedures. Duplication of materials may be allowed during the inquiry or investigation procedures if needed.

3). SCRI Inquiry Panel. Within 20 days of receiving an allegation, the RIO is responsible for selecting, notifying and convening 3 members of the SCRI to serve as an inquiry panel, including naming a chair. The RIO oversees the inquiry process and ensures that the SCRI panel completes its work and submits its report to the Provost within 60 days following the RIO accepting the allegation.

4). Inquiry Charge. The RIO will prepare an inquiry charge for the SCRI panel describing the allegations and any related issues identified during the initial allegation assessment. The charge shall reiterate the purpose of the inquiry is to make a preliminary evaluation of the evidence and interviews to determine if there is sufficient evidence of possible research misconduct to warrant a formal investigation.

5). Conflict of interest. The RIO, in consultation with the Provost, will take steps to ensure that no SCRI panel members have a bias or personal or professional conflict of interest with the complainant, respondent, witness, or the case in question. If the respondent or the complainant believes such a bias or conflict exists, a written challenge must be filed within 5 calendar days following notification by the RIO of the allegation. If such a challenge is filed, the RIO shall decide whether to select an alternate inquiry panel

member from the 7 member SCRI. If the challenge is accepted by the RIO but no suitable alternate from the SCRI is available, the Provost shall make a special, one-time appointment to the inquiry panel.

- 6). **Expert consultants.** The RIO, in consultation with the SCRI panel, will determine the need to consult with content experts for purposes of fulfilling the inquiry charge.
- 7). **Inquiry process.** The SCRI panel shall review the evidence and conduct interviews to assess whether an allegation has sufficient substance to merit proceeding with a formal investigation.
- 8) **Inquiry Panel Advisors.** The RIO and University General Counsel (or its designee) will be available to advise the SCRI panel as requested.
- 9). **Confidentiality.** All SCRI inquiry panel members and other individuals involved with the inquiry shall sign and be bound by a written confidentiality agreement to keep confidential all proceedings and information or documents that are part of the inquiry. The inquiry may not be discussed outside the official proceedings of the panel meetings. (see model agreement, Appendix E)

B). The Inquiry Report

Upon completion of an inquiry, the SCRI inquiry panel shall provide the RIO with a draft Inquiry Report (IR) within 20 days following its initial meeting.

- 1). The Inquiry Report will provide the findings and recommendations as to whether sufficient evidence exists to warrant a formal investigation. If the report affirms that an investigation is warranted it shall include a formal description of the subject matter to be investigated.
- 2). The RIO shall provide the respondent with a summary of the draft IR. The RIO shall also provide the complainant with those portions of the IR that are relevant to the complainant.
- 3). Both the complainant and respondent shall be allowed 5 calendar days to provide written comments on the draft IR. The RIO shall provide the comments to the SCRI panel for review and evaluation.
- 4). The SCRI panel shall provide written evaluation of the comments provided by the complainant and respondent, if any, in its final report to the RIO.
- 5). The RIO shall provide a copy of the SCRI panel final report to the Provost.
- 6). The SCRI panel final report normally should be completed within 38 calendar days of its initial meeting. However, the RIO may grant the SCRI panel a specified extension for

cause to complete the inquiry. Both the complainant and respondent will be notified of such an extension.

- 7). The Provost shall determine, based on the SCRI panel final report and within 5 calendar days of receiving it, whether a formal investigation of research misconduct is warranted. If the Provost determines an investigation is not warranted, the case is closed. If the Provost determines that an investigation is warranted, the RIO shall be notified in writing to begin an investigation phase.
- 8). If the Provost's decision to terminate the inquiry process is in conflict with the recommendation of the SCRI panel, the Provost shall provide a written justification of that variance to the panel and the RIO.

VI. Phase Two: Investigation of Research Misconduct

The investigation proceeds under the direction of a new three member committee convened specifically for that purpose on a case by case basis. The investigation explores in detail the allegation of misconduct, examines the available evidence in depth, develops a factual record with respect to the allegation, and determines whether misconduct has been committed, by whom, to what extent, and the seriousness of misconduct. The factual record is evaluated to determine whether the allegation should be dismissed or a formal finding of research misconduct and recommendations for appropriate university action should be made. The findings of the investigation are issued in a formal Investigation Report.

An investigation shall commence within 30 calendar days of the completion of the inquiry, and be completed within 120 calendar days of its initiation. If the investigation requires more than the prescribed 120 days, and is being conducted on a project associated with a federal grant, contract, or cooperative agreement, the RIO is required to request an extension in writing from the federal sponsor of the project.

A). Notifications:

Within 10 calendar days following the determination by the Provost that an investigation will occur, the RIO will notify the respondent in writing that an investigation will take place. The notification includes:

- 1). A copy of the inquiry report
- 2). The specific allegation(s) to be investigated
- 3). The sponsor (if any)
- 4). The definition of research misconduct
- 5). The procedures to be followed in the investigation including the appointment of the investigation committee and consulting experts
- 6). The opportunity of the respondent to be interviewed, to provide information, to be assisted by counsel, to challenge the membership of the committee and experts based on

bias or conflict of interest, and to comment on the Inquiry Report submitted by the SCRI panel.

The RIO will notify external funding agencies and appropriate government officials, in the manner and to the extent required by law. The RIO shall immediately secure any research records or materials relevant to the investigation identified in the SCRI panel Inquiry Report.

B). Appointment of an Investigation Committee

Within 10 calendar days following the determination by the Provost that an investigation will occur, the RIO shall appoint three individuals to serve on the Investigation Committee (IC).

- 1). The chair of the SCRI panel shall serve in an ex-officio advisory capacity on the IC, and will not count as one of the 3 members.
- 2). The RIO and the Office of University Counsel (or designee) will be available to advise and assist the Investigation Committee in its proceedings.
- 3). Appointees to the IC must have the discipline specific knowledge, skills and expertise to identify, collect and evaluate relevant evidence and issues related to an allegation, conduct interviews, and draw conclusions. They may be scientists, content experts, administrators, lawyers, other qualified individuals or peers from GVSU or other organizations or entities.
- 4). The RIO will take steps to ensure that IC appointees or consulting experts lack bias or personal or professional conflict of interest with the complainant, respondent, witness, or case in question. If the respondent wishes to file a challenge to the membership of the investigation committee it must be submitted in writing to the RIO within 5 calendar days of being notified by the RIO that an investigation will occur.
- 5). The three member IC shall select one of its members as Chair.

C). Charge of the Investigation Committee

The RIO will define the subject matter of the investigation in a written charge that describes the allegations and issues identified during the inquiry. The charge should define the allegation of specific misconduct and identify the name of the respondent. It should also state that the committee is to evaluate the evidence and testimony of the complainant, respondent, and key witnesses to determine whether, based on a preponderance of the evidence, research misconduct occurred as defined by GVSU policy, and, if so, to what extent, the responsible party(ies) and the degree of seriousness.

During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the committee will notify the RIO. The RIO will determine whether it is necessary to notify any respondents of the new subject matter or other relevant material charges.

The RIO shall appoint the members of the IC and convene the first IC meeting within 20 calendar days of the determination by the Provost that an investigation shall occur. The University general counsel will assist the RIO with the first meeting of the Investigation Committee. The RIO will review the charge, the Inquiry Report, the procedures for conducting the investigation, and require IC members sign a written confidentiality agreement pertaining to the investigation. (see model agreement, Appendix E).

D). Developing an Investigation Plan

At its initial meeting, the committee should begin development of an investigation plan. The investigation plan should include:

- 1). An inventory of all previously secured evidence and testimony
- 2). Determination of whether and what additional evidence needs to be secured
- 3). Witnesses to be interviewed (including the complainant, respondent, and other witnesses with knowledge of the research or events in question)
- 4). A proposed schedule of meetings, briefings of experts, and interviews
- 5). Anticipated analyses of evidence (scientific, forensic, or other)
- 6). A plan for writing and submitting the Investigation Report.

E). The Investigation

The IC shall conduct its proceedings in accordance with the principles of due process and orderly procedures to ensure the impartial examination of all pertinent facts.

- 1). The IC shall use diligent efforts to ensure that the investigation is thorough and sufficiently documented and includes the examination of all research records and evidence relevant to reaching a decision on the merits of an allegation.
- 2). All reasonable steps shall be taken to ensure an impartial and unbiased investigation.
- 3). Interviews shall be conducted with the complainant, the respondent, and any other person identified as having information relevant to the investigation
- 4). All significant issues and leads shall be pursued diligently.
- 5). Evidence must be competent, relevant, and sufficient to support the findings, conclusions, and recommendations of the IC.

F). Conducting Interviews

In conducting interviews, the IC shall follow the guidelines and standard practices accepted and established by the U. S. Department of Health and Human Services Office of Research Integrity. They are as follows:

- 1) Conducting Interviews:* Interviews should be in-depth and all significant witnesses should be interviewed. Each witness should have the opportunity to respond to inconsistencies between his or her testimony and the evidence or other testimony, subject

to the need to take reasonable steps to maintain the confidentiality of the testimony of the respondent and other witnesses.

2) Preparation: The IC will prepare carefully for each interview. All relevant documents and research data should be reviewed in advance and specific questions or issues that the committee wants to cover during the interview should be identified. The IC should appoint one individual to lead each interview and all members must be present for each interview. If significant questions or issues arise during an interview that require deliberation, the IC should recess to discuss the issues. Committee deliberations should never be held in the presence of the interviewee.

3) Objectivity: The IC will conduct all interviews in a professional and objective manner, without implying guilt or innocence on the part of any individual.

4) Transcribing Interviews: Any interview with the respondent will be recorded and transcribed. Interviews with other parties will be recorded and then may be summarized or transcribed. An interview summary or transcript will be provided to each witness for review and correction of errors. Witnesses may add comments or additional information, but changes are limited to correcting factual errors.

5) Recording Admissions: If the respondent admits to research related misconduct, a statement attesting to the occurrence and extent of the misconduct should be prepared for signature, acknowledging that the statement is voluntary and is made after being advised of the right to seek advice of legal counsel. The IC should consult with the University General counsel on the specific form and procedure for obtaining this statement.

The respondent's admission of specific misconduct activity may be used as a basis for closing the investigation as a whole at the discretion of the Provost and under advisement by the RIO. The Provost may request that the RIO consult with the research study sponsor (if any) when deciding whether an admission of misconduct has adequately addressed all the relevant issues such that the investigation can be considered completed.

The investigation should not be closed unless and until the investigation draft report has been written and the respondent has been given an opportunity to comment on it.

When the IC case is considered complete, the Investigation Report should be forwarded to the Provost with recommendations for appropriate institutional actions and then to the study sponsor (if any) for review. Whereas the IC report may include recommendations for disciplinary options in addition to preventive actions, sponsor recommendations should be limited to preventing future research misconduct and shall not concern disciplinary action against the respondent.

G). The Investigation Report

The outline for draft written investigation report is as follows:

- Background
 - Chronology of events
 - Issues
 - Allegations
- Inquiry Process & Recommendations
 - Committee composition
 - Interviewees
 - Evidence sequestered and reviewed
- Investigation Process
 - Committee composition
 - Interviewees
 - Evidence sequestered & reviewed
- Investigation
 - Analysis for each Allegation
 - Background
 - Analysis of all relevant evidence & specific identification of evidence supporting the finding
- Conclusion:
 - Finding of Misconduct or no misconduct
 - Effect of misconduct (e.g. potential harm to research subjects, reliability of data, publications that need to be withdrawn, corrected, redacted, etc)
 - Recommended Institutional Actions
 - Attachments

H). Report Comment Period

The IC shall complete its work and submit a draft report to the RIO within 60 calendar days of its first committee meeting. The RIO will provide the respondent with a copy of the draft Investigation Report for comment. The RIO will provide the complainant with those portions of the draft report that are relevant to the complainant in the investigation.

The respondent and complainant each will be allowed 10 calendar days to review and comment on the draft report. Their comments will be attached to the final report. At the discretion of the IC, the Investigation Report may be revised in light of the respondent's and/or complainant's comments. The RIO shall provide the Office of University Counsel (or designee) with a copy of the IC Final Investigative Report. Counsel will review the Report's legal sufficiency and provide comments that may be incorporated in to the Final Investigative Report, as appropriate.

The RIO may request any recipient of the Final Investigative Report or portions thereof to enter into a written confidentiality agreement. (See model agreement, Appendix E)

I). Documentation and Records Retention

An investigation file shall be maintained and include an index of all evidence secured or examined in conducting the investigation, including any evidence that may support or contradict the report's conclusions. Evidence includes but is not limited to: research records; transcripts or recordings of interviews; committee correspondence; administrative records; grant applications and awards; manuscripts; publications; and expert analyses.

After completion of the investigation and all ensuing related actions, the RIO will prepare the complete file, including the records of the inquiry or investigation and copies of all documents and other materials furnished to the RIO or inquiry or investigation committees. The RIO will keep the file for a minimum of three years after completion of the case.

VII. Phase Three: Adjudication

Adjudication is a formal procedure for reviewing and evaluating the evidentiary record and investigative report. Adjudication is conducted by the Provost.

A). Investigation Committee Recommendations

Recommendations in the Final Investigative Report Final Report shall address three areas in detail.

1. Finding of facts and conclusions pertaining to the respondent's commission of research misconduct under the three point evidentiary standards as defined in section VI, subpart (C) above.
2. Statement assessing the significance and seriousness of the misconduct.
3. Recommendations for procedural measures to be taken by the University to prevent future occurrences of similar research misconduct, and outline of possible disciplinary options as appropriate for the seriousness of the misconduct, or reputation restorative options as appropriate if no misconduct if determined.

The RIO shall forward a copy of the IC Final Investigative Report to the Provost no later than 90 days following the first committee meeting of the IC. Within 10 days of receipt of the IC report the Provost shall make a determination to accept, reject or require further clarifications in the final report, and shall notify the chair of the IC of that determination in writing.

B). Provost Non/concurrence with Recommendations

If the Provost does not concur with the IC findings of fact or recommendation in whole or in part, the Provost shall provide the IC with a response explaining in detail the basis for his/her nonconcurrence. The basis may be procedural or substantive. The IC normally shall have 10 days to address the concerns raised but may request extensions as may be reasonably necessary.

The IC shall provide the Provost and RIO with a revised IC Final Investigation Report. The RIO shall provide the respondent and complainant a copy of the revised Final Investigation Report, who each then shall be given 5 calendar days in which to respond to it in writing to the RIO.

C). Provost Review of the Investigation Report

Based upon a preponderance of the evidence, the Provost will make a recommendation to the President of the University for action within 5 days of receipt of the IC revised Final Investigation Report concerning its findings and its recommended institutional actions. This recommendation shall include:

- (a) corrective and/or preventive procedural measures by the University to prevent future occurrences of research misconduct,
- (b) disciplinary actions against the respondent, if any, or
- (c) reputation restorative actions if no misconduct is found to have occurred.

These recommendations shall be made by the Provost within 120 days of the first meeting of the IC, with additional time allowed to accommodate any extensions previously granted by the RIO..

If the Provost's recommendation for corrective and/or preventive procedural measures varies from the recommendation made by the IC in its Final Investigation Report, the Provost will explain the basis for that variance in making recommendations for actions to the University President and reporting letters to the study sponsor (if any). The Provost's explanation should be consistent with the definition of research misconduct, GVSU policies and procedures, and the evidence reviewed and analyzed by the IC. The President's conclusions and instructions for actions will be binding on any later proceeding convened for other purposes.

The respondent shall be notified in writing of the President's conclusions for disciplinary action against the respondent and that determination shall be conclusive and binding on any later proceeding convened for other purposes.

Other persons with a need to know (e.g. external funding agencies, sponsors, government officials, etc. as appropriate) also shall be informed of the President's conclusions related to the recommendations of the IC Final Report in a manner appropriate to their need to know and as required by law. The President's decisions will be communicated to the respondent's appointing official (AO) or, if the respondent is not a GVSU employee or student, to the administrative supervisor (AS). After consultation with appropriate university offices and officials, the AO/AS will take appropriate disciplinary action. The complainant and any other persons with a need to know shall be notified in writing that appropriate action has been taken by the University.

Where the President determines that the respondent did not engage in research misconduct, the President or designee shall take any other action which he/she deems necessary to restore the respondent's reputation.

VIII. Institutional Administrative Actions

When an allegation of misconduct has been substantiated appropriate administrative actions will be taken. They may include but are not limited to:

- 1). Withdrawal or correction of all pending or published abstracts and papers resulting from the research where misconduct was found;
- 2). Removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- 3). Restitution of funds as appropriate.

The termination of the respondent's employment, by resignation or otherwise, before or after the allegation has been reported, may or may not terminate the misconduct investigation proceedings. If the respondent, without admitting misconduct, elects to resign prior to or during the inquiry or investigation phases, the inquiry or investigation may still proceed.

If the respondent refuses to participate in the proceedings, the committee will use its best efforts to reach a conclusion concerning the allegation, noting the respondent's refusal to cooperate and its effect on the committee's review of all the evidence.

IX. Safeguards

A). Confidentiality:

To the extent possible consistent with a fair and thorough investigation and as allowed by law, knowledge about the identity of a complainant, respondent, and any witness shall be limited to those persons identified in this procedure and others who need to know, and all written materials and information with respect to any of these proceedings, shall be kept confidential. Written confidentiality agreements may be required for some or all individuals involved in these procedures. (See model confidentiality agreement in Appendix E).

B). Conflicts of Interest:

The RIO shall take all reasonable steps to ensure that all individuals responsible for carrying out any part of the administrative procedures described in this procedure do not have unresolved personal, professional, or financial conflicts of interest with the complainant, respondent, or witness. In making this determination, the RIO will consider whether the individual (or any members of his or her immediate family):

- 1). has any financial involvement with respondent, complainant, or witness
- 2). has been a co-author on a publication with respondent, complainant, or witness
- 3). has been a collaborator or co-investigator with respondent, complainant, or witness
- 4). has been a part to a research controversy with respondent, complainant, or witness

- 5). has a supervisory, mentor, or professorial relationship with respondent, complainant, or witness
- 6). has a special relationship, such as a close personal friendship, kinship, or a professional/client relationship with respondent, complainant, or witness
- 7). falls within any other circumstances that might appear to compromise the individual's objectivity in reviewing the allegation.

C). Challenges to Investigation Committee Members

Any principal participant in the investigation process may challenge any IC member or expert on the basis of conflict of interest. The RIO will notify the complainant and respondent of the proposed IC membership within 10 days of the Provost's determination that the inquiry will proceed to the investigation phase. If the respondent or complainant submits a written objection to any member of the IC or consulting expert based on bias or conflict of interests within 5 days, the RIO will immediately determine, in consultation with the Provost, whether to replace the challenged member or expert with a qualified substitute. If a challenge is made of the suitability of the RIO directly, the Provost may appoint a new RIO for some or all of the procedures.

D). Safeguards for a Complainant:

In addition to procedural safeguards provided for as described above the University shall ensure:

- 1). fair and reasonable treatment of the complainant
- 2). all reasonable and practical efforts to protect the complainant from retaliation
- 3). use of fair and objective procedures
- 4). diligent effort to protect or restore the position and reputation of the complainant

X. Appendices

- A. Summary Responsibilities
 1. President
 2. Provost
 3. Research Integrity Officer
 4. Standing Committee on Research Integrity
 5. Investigation Committee
 6. Complainant
 7. Respondent
 8. Members of the University Committee
- B. Summary Timeline
- C. Time Line graphic
- D. Definitions
- E. Model Confidentiality Agreement

Appendix A:

Responding to an Allegation of Research Misconduct: Roles & Responsibilities

1. Responsibilities of the President

Ultimate responsibility to resolve misconduct allegations found to have merit through these procedures is held by the President of the University, informed by the recommendation of the Provost.

- Informs external funding agencies, sponsors, or appropriate governmental office that an investigation is or is not warranted if external funding agencies, sponsors, or governmental office requested the inquiry
- Final responsibility for determination of corrective/preventive procedural measures
- Final responsibility for determination of administrative action concerning respondent
- Final responsibility for reporting and explaining outcome of university processes and actions to sponsors or government entities as required by law.

2. Responsibilities of the Provost

The Provost is responsible for the implementation and oversight of these procedures and retains decision making authority over all actions related to these procedures.

- The Provost on an annual basis will appoint 7 members (including the Chair) to a Standing Committee on Research Integrity Inquiry (SCRI).
 - Ensures no apparent bias or conflict of interest exists for members of SCRI and RIO
 - Determines whether an investigation is warranted
 - Determines whether to accept recommendations of investigation report
 - Determines GVSU administrative actions against “bad faith” complaints
 - Recommends administrative corrective/preventive and disciplinary actions to the President

The Provost will take reasonable steps to ensure that the RIO does not have any real or apparent unresolved personal, professional, or financial conflicts of interest with a complainant, respondent, witness, or other members of the SCRI. In the event the RIO has a conflict of interest and requests to be recused from the proceedings, the Provost shall appoint on a case-by-case basis an individual to act on behalf of the RIO.

3. Responsibilities of the Research Integrity Officer (RIO)

The Research Integrity Officer (RIO) plays a central role in allegations of misconduct. The responsibilities and duties of the (RIO) for Grand Valley State University reside within the office of the Dean, Graduate Studies and Grants Administration. The Dean is the designated RIO for Grand Valley State University and has primary responsibility for assuring adherence to these procedures. In particular, the RIO is responsible for initially assessing allegations of research misconduct, determining when an allegation warrants an inquiry, overseeing such inquiries and investigations, and effectively communicating with all external funding agencies, sponsors, and government offices regarding their reporting requirements throughout the procedures.

The RIO may seek the assistance or consultation of the University General Counsel or its designee at any point in the proceedings.

The RIO will convene the SCRI and oversee the committee in conducting an inquiry. Should the committee determine an allegation warrants a formal investigation, the RIO, with the review and approval of the Provost, shall select and appoint members to serve on a formal investigation committee (IC).

The RIO will assist members of the University community in complying with these procedures as well as with other relevant standards imposed by the government or other external entities.

The RIO will ensure that all internal and external reporting requirements are met. The RIO is also responsible for maintaining the confidentiality of all files, documents and evidence in a safe and secure environment. A list summarizing the responsibilities of the RIO follows:

Receipt of Allegations

- Receives allegations of research misconduct
- Receives allegations of retaliation
- Receives reports of “bad faith” allegations
- Receives reports of violations of federal regulations

Assessment of Allegations

- Conduct preliminary assessment of allegations
- Determines whether an inquiry is warranted
- Refers non-research misconduct issues to the appropriate institutional or federal office

Inquiry Process

- Initiates inquiry process by selecting and convening a 3 member inquiry panel of the Standing Committee on Research Integrity (SCRI) and appoints one member as chair.
- Determines whether to replace challenged SCRI panel members
- Notifies appropriate institutional officials, the respondent, external funding agencies, sponsors, and appropriate governmental offices as appropriate that an inquiry is in process
- Sequesters research records
- Establishes conditions of confidentiality and secures written confidentiality agreements as appropriate
- Protects processes against bias or conflict-of-interest by principal members
- Develops the charge to the SCRI inquiry panel and advises them on procedures
- Meets sponsor/funding agency/ORI reporting requirements directly or through notification of University reporting officials
- Takes appropriate interim administrative actions
- Seeks advice from external funding agencies, sponsors, and governmental offices as appropriate when an admission of misconduct occurs

- Determines whether a time extension shall be allowed for SCRI panel reporting
- Provides a draft SCRI panel report to the respondent
- Provides appropriate portions of the draft SCRI panel report to the complainant
- Transmits the final SCRI panel report and comments to the Provost
- Communicates the decision of the Provost to the appropriate parties
- Notifies external funding agencies, sponsors, and governmental offices as appropriate if an investigation will be undertaken
- Provides the final SCRI inquiry panel report to funding agencies, sponsors, and governmental offices upon their request
- Secures and retains all inquiry records
- Reports “bad faith” allegations to the Provost
- Undertakes reasonable efforts to protect “good faith” complainants and other who cooperated with the inquiry

Investigation Process

- Notifies respondent that an investigation shall be conducted
- Sequesters additional research material or records, as appropriate
- Appoints and convenes the Investigation Committee
- Determines whether to replace challenged IC members
- Determines if additional expert consultation is needed
- Establishes conditions of confidentiality and secures written agreements as appropriate
- Protects against bias or conflict-of-interest among the principals
- Develops the charge of investigation and advises the IC on appropriate procedures
- Meets all external funding agencies, sponsors, and governmental reporting requirements
- Takes appropriate interim administrative actions
- Seeks advices from external funding agencies, sponsors, and governmental notification an admission of misconduct occurs
- Requests extension of IC report deadlines from Provost as needed, and submits progress reports
- Submits plan to terminate an investigation
- Provides a draft report to the respondent and appropriate portions of the draft report to the complainant
- Transmits the final IC report to the Provost
- Notifies the respondent and complainant of the Provost's findings and actions
- Retains all records of investigation
- Reports “bad faith” allegations to the Provost
- Undertakes reasonable efforts to restore the reputation of cleared respondents as directed by the Provost
- Undertakes reasonable efforts to protect “good faith” complainants and others who cooperated with the investigation

Post Investigation Process

- Responds to requests from external funding agencies, sponsors, and governmental offices for additional information or assistance
- Responds to governmental office requests for additional information or assistance during a federal government Appeals Board appeal
- Assures proper disposition and/or retention of all investigation materials as appropriate

4. Responsibilities of the Standing Committee on Research Integrity (SCRI)

This standing committee serves as the resource pool to support the Research Integrity Officer (RIO) in conducting an inquiry into research misconduct. The 7 member Standing Committee on Research Integrity (SCRI) is appointed annually by the Provost. The three member inquiry panel of the SCRI selected by the RIO to conduct an inquiry is responsible for overseeing the administrative procedures relating to an inquiry into any allegation of research misconduct. The chair of the panel is appointed by the RIO. The work of the panel normally must be completed within 60 calendar days of its initiation, but the Chair may formally request of the RIO an extension for cause. When the RIO determines that an allegation warrants an inquiry procedure, the RIO will select three (3) members of the SCRI to comprise an inquiry panel to conduct the inquiry. The SCRI will consist of 7 persons comprised of representatives from:

- College of Health Professions or Kirkhof College of Nursing (one member)
- Siedman College of Business or Padnos College of Engineering & Computing (one member)
- College of Community & Public Service or College of Education (one member)
- College of Liberal Arts and Sciences and/or College of Interdisciplinary Studies (three members)
- At-Large Representative (one member)

5. Responsibilities of the Investigation Committee

If an inquiry by the SCRI into an allegation of research misconduct results in a recommendation to conduct a formal investigation, a 3 member Investigation Committee (IC) is appointed by the RIO in consultation with the Provost on a case by case basis, and charged to conduct the investigation. IC membership shall require skills and expertise within one or more specific research disciplines or fields, to gather and evaluate evidence related to the allegation of misconduct and to complete a thorough investigation including interviews of key individuals at GVSU and elsewhere, as appropriate. The IC will issue a report that describes its procedures and conclusions pertaining to the commission of research misconduct, evaluates its severity, and includes recommendations for both preventive actions and disciplinary options. The report is advisory to the Provost.

6. Responsibilities of the Complainant

The complainant is responsible for making an allegation in good faith, maintaining confidentiality, and cooperating with any inquiry or investigation conducted as the result of an allegation.

7. Responsibilities of the Respondent

The respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry or investigation. The respondent shall refrain from retaliating against a complainant who raises an allegation in good faith, or against others who cooperate in an inquiry or investigation.

8. Responsibilities of Members of the University Community

All members of the University community shall cooperate with the inquiry or investigation committees and provide relevant evidence in the course of research misconduct proceedings.

Appendix B: Time Lines

Summary

Note: All days are calendar days

<u>Procedural Activity</u>	<u>Time to Completion</u>	<u>Total Days</u>
Phase One: Inquiry (maximum 60 days)		
RIO accepts allegation as within GVSU Policy definition	Day 1	1
RIO notification to Provost, Univ Counsel and Appointing Official of respondent		2
RIO notification to respondent and "Need to know" list*	13 d after Allegation Acceptance	15
Respondent Challenge SCRI panel membership	15 d after Notification	17
RIO convenes 1st SCRI panel meeting	20 d after Notification	22
SCRI panel Draft Report	20 d after SCRI 1st Meeting	42
Complainant/Respondent Comments on Draft Report.....	5 d after Draft Receipt	47
SCRI panel Final Report	8 d after Comments Receipt	55
Provost Determination of Closure or Continuance	5 d after Final Report Receipt	60
Phase Two: Investigation (maximum 120 days)		
RIO Need To Know Notifications/Appointment of IC	10 d after Provost Determines C/C	70
Respondent Challenge to IC Membership	3 d after RIO Appointment of IC	73
Investigation Committee convenes 1st Meeting	20 d after Appointment of IC	90
Investigation Complete, Draft Report due to RIO	60 d after First IC Meeting	150
Complainant/Respondent Comment Period.....	10 d after Draft Report Receipt	160
IC Final Report due to RIO, Provost	20 d after C/R Comments Receipt, & 90 days after 1st IC meeting and 120 d after Provost Determines Continuance, and 180 d after Allegation Acceptance.	180
Phase Three: Adjudication (maximum 30 days)		
Provost non/concurrence with IC Final Report	10 d after Final Report Receipt	190
IC issue revised report	10 d after Provost comments Receipt	200
Complainant/Respondent comment period	5 d after Revised Final Report Receipt	205
Provost Declares Investigation Completed and Makes recommendations to President	5 d after C&R comments Receipt and 120 d after 1st IC Meeting and 210 days after Allegation Acceptance	210

President's instructions for corrective actions to Provost, disciplinary actions to AO, and notifications to federal & other agencies, sponsors, etc. as appropriate. This concludes the procedures for responding to allegations of research misconduct.

Appendix C: Time line Graphic

Appendix D: Definitions

Adjudication: Adjudication is the formal procedure for reviewing and evaluating the investigation report and the accompanying evidentiary record and for determining whether to accept the recommended findings and any recommendations to impose administrative actions or other appropriate actions resulting from the investigation.

Allegation: An allegation is any written or oral statement or other indication of possible research misconduct made to an institutional official.

Appointing Official: The GVSU institutional official who authorized the respondent's current employment contract. If the respondent is not a GVSU employee, it is the GVSU institutional official who is the administrative supervisor of record for the respondent.

Complainant: A complainant is a person who makes, in good faith, an allegation of research misconduct. A complainant need not be a member of the University community.

Conflict of Interest: Any, or the appearance of, financial, personal, professional, scholarly or social interest, commitment or relationship that would, in the judgment of the Research Integrity Officer (RIO), impair the ability to make a fair and impartial judgment about an allegation of misconduct.

Day: For the purposes of this procedure a day shall mean a calendar day.

Deciding Official: The institutional official who makes final and binding determinations on procedures pertaining to the inquiry, investigation and adjudication of allegations of research misconduct. The Deciding Official at GVSU is the Provost. The individual with ultimate responsibility for making all final and binding judgments pertaining to specific institutional and personnel outcomes related to research misconduct investigations is the University President as advised by the Provost.

Employee: An employee means, for the purpose of this procedure only, any person paid by, under the control of, or affiliated with Grand Valley State University, including but not limited to: professors; management, administrative, and support staff; scientists; physicians; trainees; students; fellows; technicians; nurses; guest researchers; and consultants.

Evidence: Any document or tangible item or testimony offered or obtained during a research misconduct proceeding that tends to prove or disprove the existence of an alleged fact.

Fabrication: Fabrication is making up data or results and recording or reporting them.

Falsification: Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that research is not accurately represented in the research record.

Good Faith Allegation: A good faith allegation is an allegation made with the honest belief that research misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

Inquiry: An inquiry is information gathering and initial fact-finding to determine whether an allegation or an apparent instance of research misconduct warrants an investigation

Institutional Official: Any Dean, Chair, Unit Head, Director, or other individual with defined supervisory oversight duties and responsibilities of another person.

Investigation: An investigation is the formal development of a factual record and the examination of that record leading to a decision not to make a finding of research misconduct or a recommendation for a finding of research misconduct which may include a recommendation for other appropriate or corrective actions.

Investigation Committee: A committee of three individuals appointed and charged by the RIO to conduct a formal investigation as the result of an inquiry into an allegation of research misconduct.

Need to Know persons include all of the following: allegation respondent, Unit Head of respondent, allegation complainant, Standing Committee on Research Integrity, and any external sponsors or government regulatory oversight offices or officials as required by law.

Plagiarism: Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Research misconduct does not include honest error or differences of opinion.

Preponderance of Evidence: Proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.

Research: All basic, applied and demonstrated research in all fields of knowledge. Research includes scholarship and creative activities performed as part of one's professional role or in affiliation with the University.

Research Integrity Officer: The Research Integrity Officer is the institutional official responsible for assessing allegations of research misconduct and determining when such allegations warrant inquiries and for overseeing any inquiries and investigations. The Dean, Graduate Studies and Grants Administration, is the Research Integrity Officer for Grand Valley State University.

Research Institution: A research institution is defined to include all organizations using public or private funds for research, including colleges and universities, intramural research laboratories, federally funded research and development centers or laboratories, national user facilities, industrial laboratories, or other research institutes. Independent researchers and small research institutions are covered by this policy. Research conducted by Grand Valley State

University employees, affiliates or contractors under contractual instruments, agreements, and similar instruments are covered by this policy.

Research Misconduct: Research misconduct is defined in GVSU policies and is understood as the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, and/or engaging in ordering, advising or suggesting that subordinates engage in misconduct in research, scholarship or creative activities. Research misconduct does not include honest error or differences of opinion. This policy does not cover authorship disputes unless they involve plagiarism.

Research Record: The research record is any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or expected research that constitutes the subject of an allegation of research misconduct. Includes but is not limited to the following:

research proposals	laboratory /notebook/procurement records	forms
progress reports	abstracts	theses
oral presentations	internal reports	journal articles
correspondence	photos	use logs
animal facility records	human/animal protocols	medical charts
X-ray film	biological materials	manuscripts/publications
computer files/printouts	grant/contract applications/progress notes and other reports	equipment
		pt research files
		time sheets

Respondent: The individual who is the subject of an allegation of research misconduct or is the subject of an inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

Retaliation: Retaliation is any adverse action taken against a complainant, witness, or committee member by an institution or an employee because the individual has, in good faith, made an allegation of research misconduct or has cooperated in good faith with an investigation of such allegation.

Standing Committee on Research Integrity Inquiry: The Standing Committee on Research Integrity Inquiry (SCRI) is responsible for overseeing the administrative procedures relating to an inquiry into any allegation of research misconduct.

Witness: Any individual who testifies or provides information with regard to an allegation or whose research record is used as evidence during the course of a research misconduct proceeding.

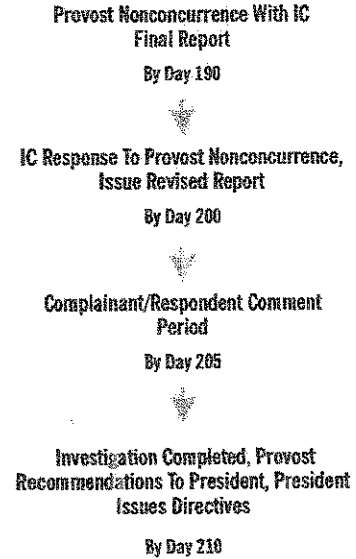
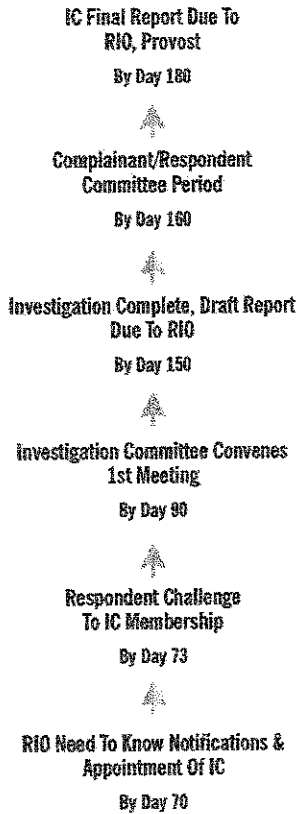
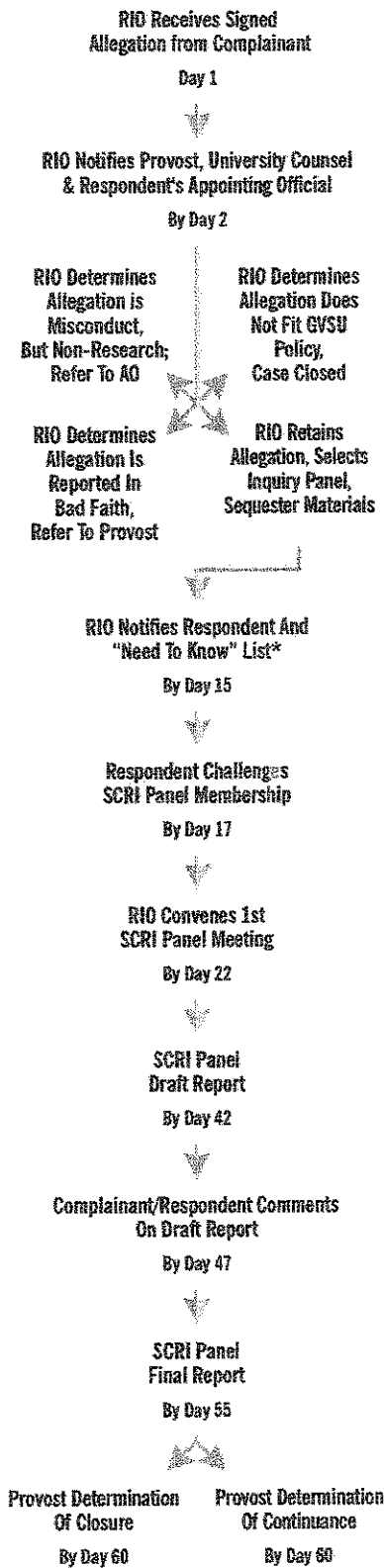
Appendix E: Model Confidentiality Agreement

4/13/09

**PHASE ONE
INQUIRY
MAXIMUM 60 DAYS**

**PHASE TWO
INVESTIGATION
MAXIMUM 120 DAYS**

**PHASE THREE
ADJUDICATION
MAXIMUM 30 DAYS**



RIO = Research Integrity Officer; Dean of Graduate Studies and Grants Administration
SCRI = Standing Committee on Research Integrity; 7 faculty appointed by Provost
AO = Appointing Official; Dean, etc.

NOTE: Days are calendar days. Timelines follow maximums from initiation of complaint. If research is federally funded, time extensions are at discretion of sponsor agency. If not federally funded, at discretion of RIO.

Rationale

GVSU Central Administration has identified graduate education as one important area of future growth. Among possible program areas, **Graduate Certificate Programs** offer great potential for expansion of post-baccalaureate education. Certificate Programs have several advantages over full masters programs including the ability to fill a specific program need identified within the local community, relatively rapid development, can generally rely on existing courses, relatively little additional expense to the University, and a program can be more readily eliminated after the original need no longer exists.

To facilitate the growth of Graduate Certificate Programs and maintain quality of those programs, the Graduate Council Policy Subcommittee is recommending that the University institute a formal category, to be maintained by the Records Office, for the purpose of identifying those who are intentionally pursuing a graduate certificate program. Please note that this proposal is intended to define GVSU **Graduate Certificate Programs** and not programs designed for external certifications. In addition, this proposal is not intended to suggest that Certificate Programs should replace full masters degree programs or should become the focus of graduate education at GVSU. Instead, we have developed this proposal because Certificate Programs will grow at GVSU and currently there are limited policies for Certificate Programs. Thus, the **rationale** for this proposal includes:

1. Expanding Graduate Certificate Programs is consistent with, and supportive of, achieving the University's goal to increase graduate enrollment by adding new opportunities for specific constituencies that would be better served by a certificate than a full degree program,
2. More accurate reporting for graduate students pursuing a Certificate program rather than a graduate degree. Currently, students in Graduate Certificate Programs are tracked as non-degree seeking or as degree seeking students. When a student listed as degree seeking finishes a certificate (their real intent), but do not finish the degree, they appear as "dropped out" and would, presumably, have a negative impact on retention rates. By defining Graduate Certificate Programs more clearly, students seeking a certificate would be tracked by program. Students who complete a Graduate Certificate Program will be reported as completing their academic program with a positive impact on graduate student retention rates. **I have talked with Sue Korzinek and she has expressed full support and willingness to development the tools to implement this element,**
3. More accurate reporting for degree-seeking graduate students since students enrolled in graduate certificate programs would reduce inflation to the degree-seeking pool, removing these students from the pool will also improve the retention rates for degree-seeking students,
4. High-quality advising and connectedness to each student by tracking every student by their educational objective,
5. Improved planning and better use of resources related to knowing each student's real educational objective,
6. Standardized guidelines for all graduate certificate programs with Council of Graduate Schools guidelines.

PROPOSED GVSU Policies and Procedures for Graduate Certificate Programs

This section, if approved, would be number A. 5. and would follow the section currently titled Certificate Program Criteria and Guidelines. The title of Section A. 4. would be: Certificate Program Criteria and Guidelines. The General Education Criteria and Guidelines would be renumbered A.6.

A. 5. Graduate Certificate Policies and Guidelines

a. Introduction

- i. Graduate certificate programs may be created within the structure of the University Curriculum Committee and Graduate Council.
- ii. Students may be awarded these certificates upon completion of a well-defined program of coursework that falls within existing programs.
- iii. The graduate certificate is not defined as a degree by the University, rather, it is a focused collection of courses that, when completed, affords the student some record of coherent academic accomplishment in a given discipline or set of related disciplines.
- iv. The material encompassed within a graduate certificate program may represent a more practice-oriented subset of an existing graduate discipline.
- v. Certificate programs existing prior to approval of these policies and procedures will remain in effect. However, existing programs will need to comply with the new policies which may require submitting course or program change proposals to the curricular review process.
- vi. These guidelines have been composed following general guidelines outlined by the Council of Graduate Schools.

b. Development of New Graduate Certificate Programs

i. General Considerations

- a. Proposals for new graduate certificate programs are created and submitted by constituent faculty.
- b. Proposals must be accompanied by UCC forms that indicate endorsement by the unit-head, college/school curriculum committee and appropriate dean of the college/school in which the contributing coursework is housed.
- c. The Graduate Council considers all graduate certificate program proposals for academic merit.
- d. Those meeting the criteria set forth by the UCC (including all required forms and committee reviews) and Graduate Council are then recommended to the Provost for approval.
- e. New graduate certificate programs in areas where joint graduate programs are conducted with other universities will normally be endorsed by the collaborating departments at the other institution.

- f.* All graduate certificate programs will be reviewed within the course of regular graduate program assessment and review, as defined by the Graduate Council.
 - g.* The title of any graduate certificate program may or may not contain the word certificate, depending on the tradition in the discipline proposing the program.
 - h.* Programs may be either free-standing or as add-ons to existing degree programs.
 - i.* If the proposed graduate certificate program contains no new courses, no new faculty, no additional costs, and maintains the admissions and academic standing requirements of a related degree program, the proposal ~~shall be~~ reviewed by all appropriate bodies but will be given expedited review in the approval process.
 - j.* Graduate certificate programs may be at the post-baccalaureate or the post-master's level.
 - k.* Certificate programs proposed for post-baccalaureate students that consist of undergraduate credit courses, professional credit courses, or non-credit courses will not be considered to have met the minimum standards for graduate certificate programs of the Council of Graduate Schools.
- ii. General Considerations – Program Administration
- a.* The proposed sequence of coursework must offer a clear and appropriate educational objective at the post-baccalaureate level.
 - b.* The proposed program will achieve its educational objective in an efficient and well-defined manner.
 - c.* Students enrolled in a certificate program will be identified as a Certificate Seeking Student by the Registrar's Office.
 - d.* The student's official transcript shall contain not only the listing of courses taken in this program, but will also indicate successful completion of the program.
- iii. General Considerations – Curriculum
- a.* An appropriate number of credit hours must comprise the certificate program however, the total number of credits may not exceed half of those required for an existing graduate program (generally 33 credits) or no more than five (5) courses.
 - b.* The number of graduate credits may not be less than nine.
 - c.* The maximum number of transfer credits may not exceed one third of the total credits required for the certificate.
 - d.* A limited number of new courses may be added for certificate programs.
- iv. General Considerations – Student Eligibility and Admission Criteria
- a.* An earned baccalaureate degree or its equivalent from an accredited college or university is required.

- b. To acknowledge the greater diversity in applicant background and to better meet the needs of the target student population, greater flexibility than that found in graduate degree admission requirements may be applied to graduate certificate programs, if it is appropriate to do so.
- c. Graduate students who are currently enrolled in a graduate program of study leading to a degree, and who wish to pursue a simultaneous graduate certificate must inform the certificate program coordinator and the Graduate Dean's Office of their intent to seek the graduate certificate.
- d. Moreover, the graduate certificate is not viewed as a guaranteed means of entry into a graduate degree program. Admission requirements for the certificate program may differ from those of the graduate degree program. Even if that is not the case, admission of a certificate holding student into a full graduate program will follow the same procedures required for any applicant.
- e. While the courses comprising a graduate certificate may be used as evidence in support of a student's application for admission to a graduate degree program, the certificate itself is not considered to be a prerequisite.
- f. The student will be required to complete the certificate program within the time limit specified for the program; individual programs may choose not to have such time limit.
- g. Students who are currently enrolled in graduate courses (non-degree seeking) and who wish to pursue approved graduate certificate programs must apply for admission to such programs before one-half of the required credits are completed.
- h. Each program sets the minimum grade point average, minimum TOEFL scores, standardized test scores, and identifies any required prerequisites. In addition programs will determine whether or not certificate courses may be counted towards related master's degree program.
- i. To remain eligible for the program, students pursuing a graduate certificate will be required to meet the same academic requirements as those defined for degree-seeking students.

c. Proposal Guidelines

i. General Information

- a. A statement of purpose and rationale.
- b. A statement of the educational objectives of the program
- c. A demonstrated need for such a program must exist. This provision may be defined in terms of either external markets (i.e., external demand for the skills associated with such a certificate) or internal academic needs (i.e., the need for a critical mass of students in a given discipline). Include a statement of the need for the proposed program and the basis for such a need, supported by either externally or internally derived data
- d. Proposals will address how the program will serve to increase the diversity in graduate education at the university.

- e. The program proposal will address the question of the impact of the graduate certificate program on any related degree program.
- f. The proposal will address the possibility for interdisciplinary development of and participation in the program.
- g. Units receiving external accreditation will need to verify current Unit accreditation and identify if the proposed certificate program will be evaluated by an external accrediting body and how accreditation will be achieved.
- h. The proposal will include an assessment plan
- is. The proposal will include proposed catalog copy.

ii. Program Administration

- a. There shall be a clear indication of the management structure of the program especially if the role of certificate program coordinator will be part of the graduate program coordinator's duties.
- b. If the certificate program requires approval by an accrediting body, proposals will be subject to the final approval of the local, regional, or national coordinating body.
- c. The proposal will address whether or not a commencement ceremony will be conducted for persons completing the program.
- d. The name and curriculum vita of the faculty member who will be designated as the coordinator of the program must be included with the proposal for purposes of communication with the Graduate Dean.

iii. Curriculum

- a. A statement of the proposed course sequence associated with the certificate, including titles and course descriptions both for existing courses and any new courses that may be developed.
- b. A statement of how the proposed course sequences associated with the certificate will meet the stated educational objectives.
- c. The proposal will address the possibility of program delivery using distance education approaches.
- d. The proposal will identify the extent to which the curriculum overlaps with the curriculum of existing degree programs, particularly if the proposed graduate certificate program contains no new courses.
- e. The proposal will identify requirements of the program that are in addition to coursework, including but not limited to laboratories, practica, internships, projects.
- f. The maximum number of transfer credit may not exceed one third of the total required.

iv. Faculty

- a. The proposal will address the extent to which faculty and adjunct faculty will be used in delivering the program.

- b.* Adjunct faculty associated with the program should also include up-to-date curriculum vitae.

v. Student Eligibility and Admission

- a.* The proposal will identify required prerequisites, the minimum grade point average, minimum TOEFL scores, and standardized test scores. The proposal should also note whether or not certificate courses may be counted towards related master's degree programs.

vi. Fiscal Considerations

- a.* The proposal will address the fiscal arrangements for the program. If new courses are added, the proposal should be considered by FSBC
- b.* A Certificate Graduate student may enroll on either a part-time or a full-time basis, as determined by the certificate program coordinator.
- c.* Students enrolled on a full-time basis will have access to many of the same campus services as other full-time graduate students.

4-12-07

STATEMENT OF TENURE CRITERIA

Current Faculty Handbook in Black

2.5 Regular Faculty Rank.

- 1. Except for librarians, regular faculty appointments within the university are made in one of the following ranks: Professor, Associate Professor, Assistant Professor, or Instructor. The nature of the accepted terminal degree for any given program is to be decided by the Dean in consultation with Unit offering that program.

Instructor. A person who does not possess a terminal degree and has limited teaching experience.

Assistant Professor. This is the usual entry-level appointment for a person with a terminal degree and little teaching experience or others without a terminal degree but with appropriate teaching or professional experience.

To be considered for promotion to Assistant Professor, an Instructor should have appropriate credentials and prove to be an effective teacher. ~~Ordinarily, at least three full-time equivalent years at the rank of Instructor are required before an Instructor is considered for promotion to Assistant Professor.~~

Associate Professor. Appointment to Associate are ordinarily contingent upon a terminal degree, demonstrated competence and experience in teaching at the university level, and recognized scholarly achievements.

To be promoted to Associate, an Assistant Professor must display consistent teaching effectiveness, and ~~should~~ must have earned the Doctorate or appropriate terminal degree, except in unusual circumstances where the evidence demonstrates that the absence of the degree does not inhibit the faculty member's professional standing and performance. In addition, the person should have achieved professional recognition through scholarship or creative activity; show evidence of professional development; and have made contributions to the university and community. The extent of participation in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the university. Ordinarily, at least five full time equivalent years at the rank of Assistant Professor are required before an Assistant Professor is considered for promotion to Associate Professor. Only in extraordinary circumstances may a faculty member be considered for early promotion.

Professor. Only distinguished scholars and professionals will qualify for initial appointment as Professor.

To be promoted to Professor, an Associate Professor must display consistent excellence in teaching and ~~should~~ must have earned the Doctorate or ~~equivalent~~

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appropriate terminal degree except in very unusual circumstances where the evidence demonstrates that the absence of the Doctorate does not inhibit the faculty member's professional standing and performance. In addition, the person should have achieved acknowledged professional recognition through scholarship or creative activity; demonstrate professional development; and have made vital contributions to the unit, university, and community. The extent of participation in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the university. Ordinarily, at least seven (7) full time equivalent years at the rank of Associate Professor are required before an Associate Professor is considered for promotion to Professor. Only in extraordinary circumstances may a faculty member be considered for early promotion.

Librarian. Professional Reference and Catalog Librarians possessing the appropriate terminal degree.

2. For librarians, regular faculty appointments within the university are made in one of the following ranks: Senior, Associate, Assistant, or Instructor

Please note that the librarian ranks are not listed here

2.6 **Initial Appointment.**

- 2.7 **Probationary Appointments.** A regular faculty member's total probationary period shall not exceed seven (7) full time equivalent years of continuing appointment (not including unpaid leaves) at Grand Valley State University. Allowance may be given for up to three (3) full time equivalent years of service of an academic nature in other institutions of higher learning at the rank of Assistant Professor, or higher, or Librarian; or, full time service as a visiting faculty member at the rank of Assistant Professor or higher at Grand Valley State University. The exact number of years equated toward the probationary period will be stipulated in writing as a part of the appointment process, but will not exceed three (3) years, or three (3) full time equivalent years for regular faculty with less than full time appointments. If allowance for previous service is stipulated, it shall not subsequently be changed, rescinded or revoked. Notwithstanding any other provision of Chapter 4 of the Administrative Manual, a regular faculty member's probationary period shall not be extended once it is established. Normally, a faculty member will be appointed for an initial three (3) year period, be eligible for a two (2) year renewal at the first review, then eligible for a two (2) year renewal at the second review. Normally, the third review will be the tenure decision. Only in extraordinary circumstances may a faculty member be considered for early tenure.

1. **Renewal Of Probationary Appointments.** Appointment renewals for regular faculty on probationary appointments normally will be for a period of two (2) years. A one (1) year renewal may be recommended if:

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- A. The two (2) year period extends beyond the regular faculty member's total probationary period;
- B. The College's Personnel Committee recommends a one (1) year renewal;
- C. The Dean recommends a one (1) year contract and gives the College's Personnel Committee the reasons for such action;
- D. The regular faculty member does not have the accepted terminal degree in the discipline.

2.8 Academic Tenure.

1. **Statement of Principle.** Tenure is a reciprocal commitment between the faculty member and the university. Tenure symbolizes the long range commitment by the regular faculty member to ~~the enhancement of~~ strengthen the excellence of programs and academic quality of the university. In awarding tenure, the university expresses its commitment to provide a climate which assures academic freedom and recognizes and rewards professional achievements. ~~Tenure is a commitment by the faculty member to strengthen the excellence of the university, while the university is committed to defending~~ supporting the faculty member's intellectual endeavors. In recognition of these commitments and the consequences which tenure decisions have on the ultimate nature of the university, the quality and diversity of its programs, and its ability to maintain academic quality through periods of change, it is essential that regular faculty review be thorough, fair and in accord with clearly stated ~~criteria~~ areas of evaluation (Section 2.9) and procedures (Section 2.10). ~~The granting of tenure is more significant than promotion in academic rank.~~
2. Regular faculty receiving academic tenure are considered as having continuous appointments which may be ended due to resignation, retirement, Dismissal for Adequate Cause (see Section 2.13.1), university financial emergency, Reduction in Force (Section 2.15), or changing enrollment patterns.
3. **Criteria for Tenure.** ~~To be awarded tenure, the candidate will normally meet the standards and expectations for Associate Professor.~~ The person must hold the doctorate or appropriate terminal degree. ~~In unusual cases of extraordinary professional achievement, the requirement for the terminal degree may be waived. Normally tenure will be granted concurrently with promotion to Associate Professor.~~

Tenure requires that the candidate have a documented record of accomplishment in effective teaching, scholarly or creative activity, and service. It is recognized that each candidate may have varied degrees of accomplishment in the three areas.

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2.9 ~~Evaluation Criteria~~ **Areas of Evaluation for Renewal of Probationary Appointments, Promotion, Tenure, and Periodic Performance Reviews.**

1. **College Regular Faculty.** The individual College's Personnel Committee will use the evaluation criteria indicated in this section in arriving at its recommendation. All regular faculty, whether full- or part-time, shall be evaluated on the same criteria and shall be expected to demonstrate that they meet the level of performance consistent with the expectations of their rank. In these personnel actions, except Dismissal for Adequate Cause, the burden of proving that their performance warrants the personnel action under consideration rests with the regular faculty member to be reviewed. It is the university's responsibility to process the requested personnel action. Each of the criteria listed below must be demonstrated to some degree, but teaching is regarded as the most important.
 - A. **Effective Teaching.** This includes, but is not limited to, knowledge of the field taught, classroom and tutorial performance, communication skills, human relations skills, evaluation skills, curricular development, and performance as an academic advisor. All academic units will use student evaluations as one method to determine teaching effectiveness of regular faculty members.
 - B. **Scholarly/Creative Activity.** This includes, but is not limited to, professional research, creative activities, scholarly writing, editorial boards, scholarly presentations at conferences, participation in professional activities, degrees and continued education, and holding official positions in professional organizations when the position has scholarly outcomes.
 - C. **Service to Unit, College, University, the Profession and Community.** Service is an integral component of a faculty member's responsibilities although the nature and distribution of service will vary with both the opportunities available and the needs of the institution and its surrounding community. Unit, college and university service includes, but is not limited to, participation in university governance, unit, college and university committees, curriculum development, work as an advisor to student organizations, and carrying out special assignments. Community service and service to the profession involves the engagement of a faculty member's professional expertise. Community service includes, but is not limited to, engaging in community outreach, acting as a board member in a community based organization, participating in public service programs, and work as a pro bono consultant on community projects when representing the university. Service to the profession includes leadership or committee roles in professional organizations. Each unit will determine the types of community service most appropriate to its specific mission and program objectives.

Each college may must create its own standards and expectations, with clear criteria for evaluation at each rank and tenure. College standards and expectations may be more specific, but ~~However, no college~~ may not contradict or conflict with the

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university standards. After approval by the Dean, these documents must be submitted to the Provost for approval.

Each unit must create its own standards and expectations, with clear criteria for evaluation at each rank and tenure. ~~The clearer and more comprehensive such standards are, the more guidance and utility they provide for the tenure candidate.~~ These documents must be submitted to each unit's ~~respective~~ Dean for approval. Each candidate for a personnel action ~~tenure and or promotion~~ must include a copy of these unit guidelines in his/her portfolio. Unit standards and expectations may be more specific, but ~~No unit standards and expectations~~ may not contradict or conflict with college or university standards.

It is recognized that the relative importance of any of the professional achievement and service may vary depending upon a variety of factors including the stage of the regular faculty member's career, the purpose of the evaluation, and the program objectives of the unit, college, and university.

2. **Library Regular Faculty.** The Library's Personnel Committee will use the evaluation criteria indicated in this section in arriving at its recommendations. All regular library faculty, whether full- or part-time, shall be evaluated on the same criteria and be expected to demonstrate that they meet the level of performance consistent with the expectations of their rank. In these personnel actions, except Dismissal for Adequate Cause, the burden of proving that their performance warrants the personnel action under consideration rests with the regular faculty member to be reviewed. It is the university's responsibility to process the requested personnel action. Each of the criteria listed below must be demonstrated to some degree. Professional effectiveness is regarded as most important.
 - A. **Professional effectiveness.** This includes, but is not limited to, knowledge of library and information science; performance in reference service, collection development, and bibliographic organization and control; communication skills; human relation skills; evaluation skills; and teaching, not necessarily in a classroom situation. Evaluation of such activities will be on the basis of the judgment of colleagues and/or those who are instructed or served.
 - B. **Scholarly/Creative achievement.** This includes, but is not limited to, participation in professional activities and organizations, activities related to inquiry and research, consulting, continued education, and scholarly writing and presentations.
 - C. **Service to Unit, University, Profession, and Community.** Service is an integral component of a faculty member's responsibilities although the nature and distribution of service will vary with both the opportunities available and the needs of the institution and its surrounding community. Unit and university service includes, but is not limited to, participation in university governance, unit and university committees, curriculum development, work as an advisor to

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student organizations, and carrying out special assignments. Community service and service to the profession involves the engagement of a faculty member's professional expertise in response to community needs. Community service includes, but is not limited to, engaging in community outreach, acting as a board member in a community based organization, participating in public service programs, and work as a pro bono consultant on community projects when representing the university. Service to the profession includes leadership or committee roles in professional organizations. Each unit will determine the types of community service most appropriate to its specific mission and program objectives.

The Library ~~may~~ must create its own standards and expectations, with clear criteria for evaluation. Library standards and expectations may be more specific, but ~~However, no college~~ may not contradict or conflict with the university standards. After approval by the Dean, these documents must be submitted to the Provost for approval. Each candidate for a personnel action ~~tenure and or promotion~~ must include a copy of these unit guidelines in his/her portfolio.

STRATEGIC DIRECTION / GOALS

Faculty Life

1. Ensure fair and equitable workloads
 - a. UAS will examine Faculty Activity Reports to ensure consistency in the manner which faculty activities are reported.
 - b. UAS will examine salary and compensation adjustments to ensure consistency in the manner which faculty activities are rewarded.
 - c. UAS will develop guidelines for achieving consistency in the reporting and rewarding faculty achievements.
 - d. UAS will annually assess workload distribution across the university for compliance with faculty workload policies.
2. Enhance faculty authority within University
 - a. UAS will increase the speed of administrative policy implementation.
 - b. UAS will increase the efficiency of governance decision-making.
 - c. UAS will increase the effectiveness of governance decision-making.
 - d. UAS will reduce the amount of administrative overload for faculty.
 - e. UAS will increase proactive policy discussions.
3. Generate tangible ways to encourage new ideas and initiative
 - a. Increase faculty participation in generating new ideas and initiatives.
 - b. Increase the number of variety of mechanisms to increase faculty new ideas and initiatives.

Communication

1. Coordinate and showcase existing faculty resources
 - a. Formalize annual report/presentation to Board of Trustees.
 - b. Establish university-wide data-base of scholarly and creative activities.
 - c. Assemble index of faculty expertise, with particular focus on global connections.
 - d. Work with Institutional Marketing to promote GVSU faculty as a community resource.
2. Improve communication between governance and faculty
 - a. Open a faculty-only WIKI devoted to governance issues
 - b. Have a regular box in the Forum reporting on governance actions.
 - c. Send a monthly "highlights" email to faculty listing actions taken and issues to be discussed, with links to the website for details.
 - d. Send an annual call to Units asking their faculty to discuss and send forward suggestions of issues that FG should address.
 - e. Invite new faculty members to an ECS meeting sometime in the Winter semester, and devote an hour of the agenda to perspectives from new faculty members on "What do fresh eyes see at GVSU?"
 - f. Experiment with RSS feeds, discussion boards, and other technologies to see which generate participation.
3. Examine structures of governance to see what works and what doesn't
 - a. Require governance subcommittees and ECS to include in an annual report, descriptions of: what worked; what did not work; suggestions for change; recommendations for change.
 - b. Establish a calendar clock to record the passage of time as documents proceed through governance. For example, wait-time clock that records time from arrival of document at committees to the beginning of the documents consideration; i.e., total-time clock to record time from first step to last step for proposals, changes, etc. (mean time for year; median time for year; mode for year; comparison of above to previous years)

Grand Valley State University

Executive Committee of the Senate

Minutes of April 13, 2007

Present: David Bair, John Bender, Yatin Bhaghat, Gayle Davis (ex officio), Rob Franciosi (Chair), Rita Grant, Joe Heigert, Robert Hendersen, Paul Leidig, Kristine Mullendore (Vice Chair), Jean Nagelkerk (ex officio), Karen Novotny, John Peck, Robert Schoofs, Kathleen Underwood, Jeroen Wagendorp, Don Williams

Guests: David Cannon, Paul Reitemeier

Agenda Items	Discussion	Action / Decisions
1. Approval of Agenda	The agenda of April 13, 2007 was reviewed	The agenda of April 13, 2007 was approved as amended.
2. Approval of Minutes	The Minutes of March 23, 2007 were reviewed.	The minutes of March 23, 2007 were approved.
3. Report of Chair	<p>a) The Chair reported that the final Diversity Assessment Committee report will be presented on April 19 in the Cook-DeWitt Center beginning at 2:30 pm. The proceedings will also be simulcast on the web and be available at other locations. An update of the final report will also be presented at the April 20 UAS meeting by members of the Diversity Assessment Committee.</p> <p>b) The Chair reported that if ECS approves the revised Graduate Certificate program on today's meeting agenda it will be placed on the UAS agenda for action on April 20, 2007.</p> <p>c) The Chair mentioned that an email was sent to faculty today informing them that the site visit of the North Central Association re-accreditation team is scheduled for October 13-15, 2008.</p> <p>d) The Chair reported that there will be a year-end retreat for ECS and that information about it will be distributed once details have been finalized.</p> <p>e) The Chair reported that the elections for the Chair and Vice Chair of the Senate will be held at the last ECS meeting on April 20 in conformance with the procedures outlined in the Faculty Handbook. Eligible candidates can be nominated by email to Lisa Haight in the Provost's Office, submitting nominations from the floor at the ECS meeting on 4/20/07, and self-nominations are accepted. If nominating another ECS member, please confirm first that the member is willing to serve.</p> <p>f) The Chair reported that the terms of several ECS members have expired and thanked them for their service. Those not returning are: Rita Grant, Jean Martin, Karen Novotny, John Peck, and Don Williams. The Chair also reminded members that Vice-Provost</p>	

	<p>Jean Nagelkerk has been named interim Vice Provost for Health and that her previous duties will be assumed by the other Assistant Vice Presidents in the Provost's Office.</p>	
4. Report of Provost	<p>a) Provost Davis reported that no additional information has been received from the State on its budget or on appropriations for higher education for 2007-08.</p> <p>b) Provost Davis thanked the ECS members who would not be returning in 2007-08 for their work on the Senate.</p>	
5. Report of Student Senate President	No Report.	
6. New Business	<p>a) Dr. Paul Leidig distributed a summary of his work over the past year as NCAA Faculty Athletics Representative and provided a brief report on the highlights of the year.</p> <p>b) The Chair presented a brief overview of the revisions made to the University Assessment Committee's proposed changes to their Bylaws previously requested by ECS. Discussion.</p> <p>ECS members indicated that they remained unclear about the need for creating different voting rights in the UAC membership and the standards that would be used to determine when each would vote. It was suggested that if the committee were changed to a governance committee, as opposed to a standing committee for UAS, that the difference in voting status would not be needed. ECS decided that the matter is not yet ready to return to UAS for action. The ECS Chair will consult with the UAC Chair to determine what should happen next.</p> <p>c) Dr. Paul Reitemeier presented an overview of "The Procedures for Responding to Allegations of Research Misconduct" which were distributed earlier. Discussion.</p> <p>A recommendation was made to broadly distribute this material to faculty-at-large to both notify them of the proposed procedures and permit their feedback to the Task Force.</p> <p><u>By consensus</u> the Executive Committee of the Senate agreed to approve the "Procedures for Responding to Allegations of Research Misconduct" provisionally and to provide an opportunity for faculty at large to review the policy and provide feedback to the Task Force on possible revisions before forwarding this policy to the Provost's Office for final approval.</p>	<p>The ECS Chair will consult with the UAC Chair to determine what should be done next with their proposed Bylaw changes.</p> <p><u>By consensus</u> the Executive Committee of the Senate agreed to approve the "Procedures for Responding to Allegations of Research Misconduct" provisionally and to provide an opportunity for faculty at large to review the policy and provide feedback to the Task Force on possible revisions before forwarding the material to the</p>

Provosts' Office for final approval.

d) Dr. David Cannon presented the revisions made to the proposed Graduate Certificate Policy as requested by ECS in January 2007.

A motion was made and seconded for the Executive Committee of the Senate to approve the proposed changes to the Graduate Certificate Policy and forward them to the University Academic Senate for their action.

e) Professor Kristine Mullendore reported that the Legal Studies Program is requesting that ECS waive the timing requirement of accreditation notification in the Faculty Handbook at 2.04.d for that program. Professor Mullendore explained that due to the volume of site visits the accrediting body makes that there is an anticipated eighteen month delay between requests for a site visit and the scheduling of that site visit. A waiver would allow GVSU's Legal Studies program to be placed in the queue for a site visit pending review by GVSU governance committees of their request to become an accredited program. Discussion.

A motion was made and seconded for the Executive Committee of the Senate to approve the request for a Waiver of Timing of Accreditation Notification as presented at this meeting.

f) Vice-Chair Mullendore reported that the GVSU North Central Association (NCA) self study sub-committee that is working on the criterion assessing faculty governance has invited ECS to provide input in the questionnaire they are creating to be used for an on-line faculty survey of governance at GVSU. ECS members concurred that ECS should accept this invitation and directed the Chair and Vice-Chair to act on its behalf over the summer and report back in the Fall.

g) The working draft of the Faculty Personnel Policy Committee's proposal for revisions to the Faculty Handbook's Tenure Standards that was distributed earlier was discussed, with Dr. Don Williams

MOTION: The Executive Committee of the Senate approves the proposed changes to the Graduate Certificate Policy and forwards them to the University Academic Senate for their action.
APPROVED UNANIMOUSLY

MOTION: The Executive Committee of the Senate approves the request for a Waiver of Timing of Accreditation Notification as presented at this meeting.
APPROVED UNANIMOUSLY

	highlighting some of the issues that remain unresolved.	
7. Old Business	No Old Business	
8. Adjournment	The meeting adjourned 5:06	

Faculty Athletics Representative Report to the Academic Senate (April 2007)
- Paul M. Leidig

Summary of past year (key job description duties):

Responsibility of the FAR is to oversee key aspects of the student-athlete's life.

1. Eligibility: Compilations are done by Lisa Sweany. Faculty Representative reviews and audits the process.
2. Academic Preparation: Damon Arnold mentors, monitors, and prepares statistical reports. (Details by team and individual.)
 - a. Fall 2006 total GPA: 2.95, women: 3.25, men: 2.76.
 - b. Top team: Softball: 3.51
 - c. Of note: Baseball improvements: F05: 2.74, W06: 2.74, F06: 3.28!!
3. Compliance: Lisa Sweany on Rules, along with Financial Aid and Admissions
Paul: annual NCAA Coaches certification
4. Rules and Infractions: review, approval, and signature of FAR
5. Direct Contact with Student-athletes: speak to all SA at fall startup meeting, SAAC invitation, team meetings if needed. All coaches are very supportive.

Required attendance at the following activities:

- Voting representative to the NCAA Annual Convention, along with the President, Athletic Director, and Senior Women's Administrator.
- NCAA Fall FAR Annual Meeting and Symposium
- NCAA Regional Rules Seminar
- GLIAC Executive Council (AD, SWA, FAR)
- Membership on the GVSU Intercollegiate Athletics Advisory Board meetings each semester.

Observations after my first year:

1. GVSU is way ahead of other GLIAC and comparable institutions in terms of support of student-athletes.
2. Our Athletics staff is top notch.
 - a. Tim Selgo is responsible for most of our success due to his management and mentoring.
 - b. Damon Arnold is vital to our student's academic success, monitoring academic performance and mentoring students who demonstrate need.
 - c. Lisa Sweany does an excellent job at keeping us in good standing with the NCAA.
 - d. Our coaches fully embrace our mission including keeping the "student" in the front of student-athlete, and caring about the individual student.
3. As a member of the faculty, I feel very good about the role of athletics at GVSU.