

CLARK UNIVERSITY

Guidelines and Procedures for Dealing with Allegations of Non-compliance for the Care and Use of Laboratory Animals

In the application of any and all phases of the procedures outlined below, it must be kept in mind that both persons making charges of non-compliance and those so charged have rights to be scrupulously respected. It should also be understood that the procedures must be appropriate for applications involving persons of any university position where such non-compliance may occur.

PROCESS

Allegations should be taken to either of these two persons:
Dean of Graduate Studies and Research
Chair of the Faculty

Inquiries, if deemed to be required, should be conducted by a new Committee on Professional Standards. The recommended construction is one faculty member from each of these four disciplinary areas: natural sciences, humanities and the arts, the social sciences, and management. This committee would be a subcommittee of the Research Board, which is charged with overseeing the University's research policies. Members would be selected by the Research Board, with at least one member of the subcommittee selected from the membership of the Board itself. The inquiry must be completed within 60 calendar days from a receipt of the allegation, including the preparation of a written report.

At this stage, as at all others, scrupulous care must be taken to assure that no one with a conflict of interest (defined in accordance with established University policies as used by the Committee on Conflict of Interest) in the matter at issue sits in a position of judgment.

Investigations, if required by the finding of the inquiry panel, shall be conducted by a panel consisting of the Dean of Research and Graduate Studies plus three persons appointed, for the specific matter under investigation, by the Provost after consultation with the Dean of Research and Graduate Studies, the subject of the investigation, and other involved parties. At this level, as at all others, the participation of legal counsel on behalf of any and all of the involved parties would be as allowed for in previously established University procedures for dealing with allegations of serious non-compliance. Here, as at all other levels, protections and confidentiality for the

individuals involved are always basic concerns. The investigating panel's charge is to report the facts of the Case, not to determine the case's outcome or disposition. An investigation must be completed within 120 calendar days.

Outcomes and Dispositions of Cases should be determined in accord with procedures and carried out by properly designated bodies within the University. Relevant sections of the Faculty Handbook, and other governing University policy documents should be applied as they are now written for equally grave situations, including rights and procedures for appeal. Thus, for faculty, if any personnel actions are envisioned, the Committee on Personnel would become involved at this point; for students, the proceedings would go to the University Judicial Board or appropriate dean.

Reporting to the Office of Laboratory Animal Welfare, must be done in accordance with the federal rules.

These matters are of the utmost delicacy. The protection of all parties from unjustified actions, retaliation, and publicity must always be uppermost in the minds of the persons carrying out these procedures. Effective efforts must be undertaken to restore the reputations of the affected individuals when allegations are not confirmed, as well. However, we must also keep in mind the necessity to uphold our standards as an institution to assure that misconduct of the kind being considered here is not allowed to flourish, and that we act promptly, fairly, and with determination when cases are presented.