Information

Responding to Violations of University of Louisville Research Policies

Effective

July 1, 2003

Number

RES-1.02

Applicability

This policy applies to the University Community (administrators, faculty, staff, and students).

Administrative Authority

Executive Vice President for Research and Innovation

Responsible Unit

Office of Research Integrity

300 E. Market, Suite 300, Louisville, KY 40202

Phone: 502-852-2454

Email: ori@louisville.edu

History

Revision Date(s): January 28, 2009; March 23, 2009; July 17, 2013; January 9, 2023; April 8, 2024

Reviewed Date(s): 2016; December 15, 2022; April 8, 2024

Categories

Reason for Policy:

The University must be prepared to respond fairly and appropriately (1) to violations of law, regulation, or University policy relating to research; (2) when questionable or unacceptable research practices occur; or (3) where there is non-compliance with research policy requirements or with reasonable requests for action or cooperation necessary to implement these research policy requirements (collectively referred to as a "violation(s) or non-compliance of research policy (ies).").

Statement:

The University of Louisville requires that all employees (e.g., investigators, faculty, and staff), key personnel, and students involved in research comply with all applicable laws, regulations, statutes, contractual obligations (e.g., agreements, assurances, accreditation standards, etc.), and University policies relating to research. The University may respond with sanctions or other appropriate action (1) to violations of law, regulation, contractual obligation, or University policy relating to research; (2) when questionable or inacceptable research practices occur; or (3) where there is non-compliance with research policy requirements or with reasonable requests for action or cooperation necessary to implement these research policy requirements (collectively referred to as a "violation(s) or non-compliance of research policy(ies).").

CORRECTIVE ACTIONS AND SANCTIONS

Corrective Actions and Sanctions applied pursuant to this policy shall not supersede or impede any regulatory or contractual authority conferred upon compliance oversight offices at the University of Louisville to apply sanctions or take other corrective actions appropriate to their authority. Corrective Actions and Sanctions applied pursuant to this policy do not supersede any sanctions imposed by external regulatory bodies. Corrective Actions and Sanctions available to the University in those circumstances where a violation or non-compliance of research policy is

proven to have occurred include, but are not limited to:

- Imposition of a requirement to obtain additional appropriate training;
- Mandatory submission to a corrective action plan;
- Imposition of a mandate and timetable for corrective or remediating action;
- Letter of Reprimand placed in personnel file;
- Improperly collected data will be returned or destroyed;
- Suspension of supervision or mentoring of University of Louisville students, or of students participating in approved projects or programs under the auspices of the University of Louisville;
- Requirement to make financial restitution;
- Return of funds to the sponsoring entity;
- Suspension of laboratory privileges;
- Suspension of some or all research activities;
- Removal as a principal or co-principal investigator on specific or all research activities;
- Suspension of processing of proposals/applications to research sponsoring entities;
- Suspension or withholding of sponsored activity (e.g., grant/contract) or operating funding;
- Any action that may be required by applicable law or regulation;
- Any other disciplinary actions available as corrective action in a case of inappropriate behavior by a student or a faculty member or other employee up to and including termination;
- Where required by law or contract, follow-up action with successor institution in the case of investigator leaving the University for such other institution;
- When appropriate and warranted, a department or unit may be held accountable for fees, charges, fines, or expenses incurred or resulting from or related to any such violation or non-compliance where the unit or department is deemed in whole or part responsible.

In addition to imposing appropriate sanctions, the University of Louisville shall do everything it can to clarify the record, such as:

- Formal notification of sponsoring entities, funding sources, co-authors, co-investigators, collaborators, department, campus and university publications, editors of journals in which fraudulent research was published, state professional licensing boards, other institutions, sponsoring agencies, funding

sources with which the individual has been affiliated, and professional societies;
- Public announcements;
- Published retractions and disassociation with published papers;
- Formal withdrawal of pending applications for research support.

Procedures:

RES-1.02a Responding to Violations of University of Louisville Research Policies

Responsibilities:

All members of university community with knowledge of any violations of or non-compliance with research policies should be immediately reported to the Executive Vice President for Research and Innovation, the appropriate Vice President, Dean, Chair, or unit head for the department or unit in which the violation or non-compliance has occurred and, if applicable, any other compliance oversight office of the University.

All parties submitting or receiving reports of violations or non-compliance will maintain the information in confidence to the extent permitted by law until a final finding has been made.

If the initial report is received by a Vice President, Dean, Chair, or unit head for the department or unit in which the violation or non-compliance has occurred, the individual receiving the report is required to inform all appropriate officials including compliance oversight offices and, up to, and including the Executive Vice President for Research and Innovation.