Information
Responding to Violations of University of Louisville Research Policies

Effective
July 1, 2003

Number
RES-1.02a

Applicability
This procedure 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): March 23, 2009; January 28, 2010; July 17, 2013; January 9, 2023; April 8, 2024
Reviewed Date(s): 2016; December 15, 2022; April 8, 2024

Categories

Statement:
When warranted, the Executive Vice President for Research and Innovation, or designee, may empanel an Inquiry Committee to determine whether a finding of questionable or unacceptable research practices is justified. The Inquiry Committee shall be an ad hoc committee consisting of three (3) members. They will have

seniority and experience at the University of Louisville and shall be individuals with no real or apparent conflicts of interest in the case, are unbiased, and possessed of the necessary expertise to evaluate the evidence and issues related to the reported instance of questionable or unacceptable research practices, to interview the principals and key witnesses, and conduct the inquiry. The members may themselves be researchers or subject matter experts, be administrators, have legal training, or be otherwise qualified to serve as committee members. The Executive Vice President for Research and Innovation, or designee, shall make the appointments, following consultation with the appropriate vice president(s), dean(s), and chair(s).

The purpose of the inquiry is to explore in detail the reported instance of questionable or unacceptable research practices and to examine the evidence in depth, and to determine specifically whether questionable or unacceptable research practices have been committed, by whom, and to what extent. The inquiry will also determine whether there are additional instances of possible questionable or unacceptable research practices that would justify broadening the scope beyond the initial report. This may be particularly appropriate where the reported instance of questionable or unacceptable research practices involves clinical trials or potential harm to human subjects or the general public or if it affects research that forms the basis for public policy, clinical practice, or public health practice.

The inquiry will normally involve examination of all documents including, but not necessarily limited to, relevant research records, computer files, proposals, manuscripts, publications, correspondence, memoranda, and notes of telephone calls. At a minimum, the Inquiry Committee should interview the complainant/whistleblower, the respondent, and other individuals who might have information regarding the reported instance of questionable or unacceptable research practices. The inquiry will be conducted in a timely and confidential manner.

The Inquiry Committee will generate a report detailing the outcome of the inquiry and forward it to the Executive Vice President for Research and Innovation, or designee. The report should contain the following elements: background information; description of the reported instance of questionable or unacceptable research practices; the inquiry process, findings, conclusions and recommendations regarding each reported instance of questionable or unacceptable research practices; the need, if any, for referral of any issue considered research misconduct to the Research Integrity Ombudsperson; and recommended sanctions or other actions, if any. The report should describe the policies and procedures under which the inquiry was conducted, describe how and from whom information relevant to the

inquiry was obtained.
When there is a finding of questionable or unacceptable research practices, the Executive Vice President for Research and Innovation, or designee. shall determine whether sanctions will be imposed and the nature of those sanctions. The Executive Vice President for Research and Innovation, or designee, shall consult with legal counsel as needed and any other individuals necessary before reaching a decision as to appropriate action. Campus officials designated by the Executive Vice President for Research and Innovation, or designee, will implement the approved sanctions and provide documentation to that effect.
In instances where an official compliance committee (e.g., IACUC, IBC, IRB, CRB, etc.) has reviewed and made a determination of non-compliance, the Executive Vice President for Research and Innovation may accept those findings in lieu of charging a panel and move straight to appropriate corrective action.

Related Information:

RES-1.02 Policy for Responding to Violations of University of Louisville Research Policies

Responsibilities:

All members of the university community with knowledge or reasonable suspicion of any violations of or non-compliance with research policies should be promptly reported to the Executive Vice President for Research and Innovation.
The Executive Vice President for Research and Innovation, or designee will be responsible for communicating the report to 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.
The Executive Vice President for Research and Innovation, or designee, will be responsible for conducting an inquiry into the reported violations to determine whether a finding of questionable or unacceptable research practices is warranted.