

I. SANCTIONS FOR VIOLATIONS OF UNIVERSITY OF LOUISVILLE RESEARCH POLICIES

PURPOSE

The University must be prepared to respond fairly and appropriately with sanctions if violations occur or where there is non-compliance with policy requirements or with reasonable requests for action or cooperation necessary to implement them.

POLICY

The University of Louisville requires that investigators, faculty, staff and students comply with all University policies relating to research. The University may respond with sanctions if violations occur or where there is non-compliance with policy requirements or with reasonable requests for action or cooperation necessary to implement them.

ORGANIZATIONAL RESPONSIBILITIES

Knowledge of any violations of or non-compliance with research policies should be immediately reported to the Senior Vice President for Research and the appropriate Dean, Chair, or unit head for the department or unit in which the violation or non-compliance has occurred

VIOLATIONS OF THIS POLICY

Sanctions available to the University in those circumstances where a violation or non-compliance is deemed to have occurred include, but are not limited to:

- Suspension of some or all research activities;
- Suspension of processing of grant applications;
- Suspension of supervision or mentoring of graduate students;
- Suspension or withholding of grant or operating funding;
- Removal as a principal or co-principal investigator in particular or all research activities;
- Loss of improperly collected data;
- Suspension of laboratory privileges;
- Mandatory submission to monitoring or oversight;
- Imposition of a requirement to obtain additional appropriate training;
- Imposition of a mandate and timetable for corrective or remediating action;
- Follow-up action with successor institution in the case of investigator leaving the University for such institution;
- Any action that may be required by applicable law or regulation;
- Any appropriate personnel action up to and including termination.

In addition, and 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.

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