

# UNIVERSITY of LOUISVILLE

## CHARGING MEMORANDUM

### **Task Force F (TF-F): Monitoring, Auditing And Response Task Force**

The broad mission of the Monitoring, Auditing and Response Task Force (TF-F) is to review compliance and integrity issues relating to the monitoring and auditing of research activities, institutional responses to non-compliance, research misconduct, and appropriate sanctions and discipline, and to provide advice and recommendations. In so doing, this Task Force should be generally familiar with current regulatory requirements, and ethical and other external standards that relate to such matters, and with current corresponding policies and practices at the University. The Monitoring, Auditing and Response Task Force will identify and inventory institutional needs and vulnerabilities, and associated compliance risks, and make recommendations respecting any matters under review, with the objective of minimizing risks, enhancing compliance, and facilitating the responsible conduct of research.

The Monitoring, Auditing and Response Task Force will provide its advice and recommendations to university officials and committees as appropriate. In consultation with others, it will establish timelines and milestones for the accomplishment of its tasks. In conducting its review, it will give consideration to the matters identified below:

1. Guidelines, policies and forms applicable to the monitoring and auditing of research activities and of related potential compliance risks;
2. Institutional responses to past allegations or past incidents of non-compliance or research misconduct, in order to evaluate -- after-the-fact, and among other matters deemed relevant by the Task Force -- the extent to which university procedures were followed, the nature of the institutional responses, if any, the appropriateness and proportionality of such responses in light of the magnitude of the risk, the institution's level of consistency and uniformity in applying its policies;
3. Research misconduct policies and procedures, including sanctions, discipline, and other appropriate enforcement mechanisms. In this connection the Monitoring, Auditing and Response Task Force (TF-F) should coordinate the development of its procedural recommendations with other Task Forces which have substantive responsibility in specific areas (e.g. conflicts of interest, animal and human subjects, biological and environmental safety, etc.);
4. Appropriate training and certification requirements for University faculty and staff concerning research monitoring and auditing, institutional responses to non-compliance, misconduct policies and procedures, sanctions, discipline, and enforcement. In this connection, the Monitoring, Auditing and Response Task Force (TF-F) should coordinate its recommendations with the Research Standards and Training Task Force (TF-G), which has responsibility for developing a university-wide training and certification program in the responsible conduct of research;
5. The level of commitment and support by all concerned at the University for policies and procedures involving monitoring and auditing of research activities, institutional responses thereto, non-compliance, research misconduct, and sanctions, discipline, and enforcement;
6. Ways to streamline procedures and facilitate compliance in areas within the scope of this Task Force's responsibilities. [Version 3/15/02]