

Policies and Procedures

<p><i>SECTION:</i></p> <p>Administration</p>	<p><i>NO.</i></p> <p>2.1.19.</p>		
<p><i>CHAPTER:</i></p> <p>General</p>	<p><i>ISSUED:</i></p> <p>11/29/01</p>	<p><i>REV. A</i></p>	<p><i>REV. B</i></p>
<p><i>POLICY:</i></p> <p>Reporting Noncompliant Conduct in Research or Sponsored Programs</p>	<p><i>PAGE 1 OF 5</i></p>		

I. PURPOSE

The primary purpose of the research compliance reporting process is to provide nonthreatening ways for employees and agents of Creighton University to report any activity or conduct that they suspect is not in compliance with the *Research and Sponsored Programs Compliance Plan* (Plan) or with applicable federal or state laws and regulations. Information received through the research compliance reporting process will be used to investigate, verify, and correct any identified noncompliant conduct in research or sponsored program activity.

II. POLICY

Employees, students, and agents of Creighton University who know or suspect that noncompliant conduct is occurring or has occurred in any research or sponsored program activities conducted and/or approved through Creighton University should report such conduct. No person shall be retaliated against by Creighton University or any of its employees, students, or agents for making a good-faith report of suspected noncompliant conduct in research or sponsored program activities.

III. SCOPE

This policy applies to all full-time and part-time faculty, administrators, staff, volunteers, students, and agents of Creighton University.

IV. PROCEDURE

Reporting Noncompliant Conduct

- 1. University research oversight committees, boards, and offices:** Individuals who know or suspect that noncompliant conduct is occurring or has occurred should first discuss their concerns with their immediate supervisor, if appropriate. As necessary, concerned individuals should then contact the appropriate University research oversight committee, board, or office responsible for the element of research compliance in question, as described in the Plan. Concerned individuals who do not know which committee, board, or office to contact or who have a general research compliance concern should contact the Research Compliance Officer (402-280-2360).

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2. **Research Compliance Hotline:** The Research Compliance Officer shall establish and maintain a Research Compliance Hotline (402-280-3200) to allow individuals to anonymously report noncompliance in research or sponsored program activities. Any person may call the confidential Research Compliance Hotline to report any known or suspected noncompliant conduct in research or sponsored program activities. Anyone who intentionally makes a false report or misuses the Research Compliance Hotline shall be subject to discipline.

Confidentiality of Individuals Reporting Noncompliant Conduct

All reports regarding suspected noncompliant conduct shall be maintained in a confidential manner to the extent allowed by law. Persons who wish to remain anonymous may report concerns using the Research Compliance Hotline.

Individuals receiving reports of noncompliant conduct shall maintain the confidentiality of the person making the report, shall utilize the procedures in this policy to obtain information, and shall confidentially submit the information to the Research Compliance Officer for further action. Except as required by law, no one shall disclose the name of anyone making a report of noncompliant conduct without the express consent of the person making the report.

A caller who uses the Research Compliance Hotline and wishes to remain anonymous will be assigned a tracking number. Callers who do not want to provide contact information will then be able to follow up by calling the Research Compliance Hotline and referencing their assigned tracking number.

Notice of the Research Compliance Hotline Number

The Research Compliance Officer shall provide a current notice of the Research Compliance Hotline number to all University vice presidents, deans, and department heads to be posted in noticeable locations for employees, students, and agents working in those locations.

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Procedures for Receiving Reports of Noncompliant Conduct

All reports of noncompliant conduct shall be handled in a confidential manner, according to the following guidelines:

1. **Recording Information:** Persons receiving reports of noncompliant conduct shall use the Report of Noncompliant Conduct Information Sheet (Attachment A) to obtain the information necessary for investigating the complaint. The completed Report of Noncompliant Conduct Information Sheet shall be forwarded to the Research Compliance Officer, who shall maintain the confidential information in a secure location.
2. **Handling Calls to the Research Compliance Hotline:** Calls to the Research Compliance Hotline shall be handled by the Research Compliance Office. The following procedures are to be followed in answering a call to the Hotline:
 - a. **Identification:** Callers shall be asked if they want to give their name, department, and contact telephone number. If a caller wishes to remain anonymous, a tracking number shall be assigned to the caller. Anonymous callers can follow up by calling the Research Compliance Hotline and referencing their assigned tracking number.
 - b. **Calls During University Business Hours (Monday–Friday, 8:00 a.m.–4:30 p.m.):** In most cases, calls to the Research Compliance Hotline during University business hours will be handled by the Research Compliance Officer. If the Research Compliance Officer is unavailable, the caller will have the option of either leaving a message on voice mail or contacting Associate General Counsel (402-280-2107) to report any suspected noncompliant activity or conduct. A caller who chooses to contact Associate General Counsel will have the option of remaining anonymous.
 - c. **Calls Outside Regular Business Hours (including weekends and holidays):** During non-business hours, calls to the Research Compliance Hotline will be handled through the voicemail system for the Research Compliance Hotline. Hotline callers will be given three options:

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- To call back during business hours if they do not want to leave information on the voicemail system.
- To leave their name and phone number or other contact information on the voicemail system. Callers who leave contact information will be contacted within a reasonable time, preferably the next business day.
- To leave a voicemail message regarding the suspected noncompliant conduct or activity. Callers who leave a message regarding noncompliant conduct or activity should also leave contact information or should call back on the next business day to follow up on the report.

Investigating Reports of Noncompliant Conduct

Before initiating investigation of any report of noncompliant conduct, the Research Compliance Officer shall contact the General Counsel's Office. The General Counsel's Office shall decide whether or not to oversee any investigation. If the General Counsel's Office decides not to oversee the investigation, then the Research Compliance Officer shall be primarily responsible for conducting or supervising the investigation. In most cases, the Research Compliance Officer will forward anonymous Research Compliance Hotline reports (using only the tracking number for identification) to the appropriate University research oversight committee, board, or office for further investigation and action according to its policies and procedures for addressing noncompliance. The written results of such investigations, including any corrective action taken or recommended, shall be given to the Research Compliance Officer.

After receiving the written investigation results, the Research Compliance Officer shall ensure that appropriate corrective action, if any is required, has been taken or is implemented. The Research Compliance Officer, in consultation with the General Counsel's Office, shall determine if any government or private funding agency must be notified prior to, during, or after any investigation.

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V. ADMINISTRATION AND INTERPRETATIONS

Questions regarding this policy may be addressed to the Research Compliance Officer or General Counsel.

VI. AMENDMENTS OR TERMINATION

This policy may be amended or terminated at any time.