1) Oversight

- Executive Administrative Compliance Coordinating Team
- Office of Research Compliance
- Research Compliance Advisory Committee
- Finance & Accounting
- Grants & Contracts/RASP
- Department Compliance Officer/Liaison

2) Standards

- Establish and Enforce Uniform Standards Including Well-publicized Disciplinary Guidelines
- Effort Reporting Research Compliance Plan
- Effort Reporting Department Plans

3) Education

- Web-based Training & Education
- Required Training & Education (TBD)

4) Monitoring

- Ongoing Audit Requirements
- Standardized Audit Process

5) Reporting

- Department Submits Quarterly Reports to Office of Research Compliance
- Department Submits Annual Report to Office of Research Compliance
- Office of Research Compliance Submits Summary Report to Executive Team
- Senior Executive Vice Dean for Research Reports on Status to Board’s Audit Committee as Deemed Necessary
- Office of Research Compliance Hotline
Elements of An Effort Reporting Research Compliance Plan cont.

6) Investigations

As Needed
Coordinated and Systematic (Office of Research Compliance Will Provide Oversight)

7) Corrective Action

Create Corrective Action Plan & Implement

Discipline → Escalate → Dept → Asst. Dean of Research Compliance → Senior Executive Vice Dean For Research → Dean