



Procedure for Investigating a Breach of Research Integrity

Classification Research	Table of Contents 1 Purpose 1 2 Scope 1 3 Definitions 1 4 Procedure 3 5 Parent Policy..... 10 6 Related Information 10 7 History 10
Approval Authority Vice-President (Research)	
Implementation Authority Vice-President (Research)	
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1 Purpose

This procedure outlines the process by which:

- a) ~~the integrity~~ d
- b) individuals will be protected from Reprisals for making an allegation.

This procedure is not intended to address the process for reporting an allegation directly to

- r) "Research" means an undertaking intended to extend knowledge through disciplined inquiry or systematic investigation. The conduct of Research includes applying for and managing funds, collecting

- 4.2 An allegation of a breach of the Research Integrity Policy must be in writing. The allegation should contain enough information to permit an evaluation of whether the

The Investigation Committee will include at least one external member who
does not have a conflict of interest.

- b) afford the Respondent an opportunity to respond to the allegations and the evidence in person and in writing;
- c) provide the Respondent with notice and an opportunity to put forward further material that may influence the outcome of the report if it is contemplating making a report that is adverse to the interests of the Respondent; and
- d) work to minimize delay.

4.21 The Investigation Committee will record or transcribe all interviews it conducts with the Complainant, Respondent, and any relevant persons, and will submit any such transcript to the interviewee for review. For clarity, deliberations of the Investigation Committee will not be recorded in any form.

4.22 If during the investigation, the Investigation Committee identifies information that suggests there are potential violations related to Research Misconduct that are not part of the original Responsible Allegation, or which suggests additional Respondents, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor to amend the investigation Terms of Reference. If the expanded investigation changes the scope of the investigation, appropriate parties will be provided with notice.

If during the course of the investigation, the Investigation Committee identifies information that suggests a violation of a University policy other than the Research Integrity Policy, the Investigation Committee shall refer any such matter back to Protected Disclosure Advisor for further action. The possible violation identified will be addressed or referred by the Protected Disclosure Advisor in accordance with the relevant University policy or procedure.

4.23 If during the course of the investigation, the Respondent ceases to hold a position or appointment at the University or ceases to be employed by the University, the Investigation Committee will refer the matter back to the Protected Disclosure Advisor for further action.

Procedure for

- c) the Respondent's response to the allegation, investigation and findings, and any measures the Respondent has taken to rectify any breach; and
- d) the Investigation Committee's decisions and recommendations and actions taken by the University.

4.38 The report to the SRCR will not include:

- a) information that is not related specifically to Agency funding and policies; or
- b) the Respondent's personal information, or that of any other person, that is not material to the University's findings and its report to the SRCR.

4.39 In addition to the notification in 4.37, the Protected Disclosure Advisor will determine, with assistance from the Vice-President (Research) if any other applicable Research funders or government agencies need to be notified