



ST. THOMAS UNIVERSITY RESEARCH INTEGRITY ALLEGATION SUBMISSION

Note: Allegations will be assessed in accordance with the University's *Integrity in Research Policy*.

1. Complainant Information: *An individual or representative from an organization who has notified an institution or Agency of a potential breach of an Agency policy.*

I am submitting this allegation anonymously

Yes

Please note:

No

- a) Anonymous allegations will only be considered if they are accompanied by sufficient information to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the complainant.
- b) Anonymous allegations should only be made in exceptional circumstances as the University will be unable to contact you to obtain additional information.
- c) Frivolous or vexatious allegations will not be tolerated and may be subject to disciplinary action.

Name of Complainant:

Institution / Organization (if applicable):

Position with respect to the Respondent:

Email address:

Phone:

2. Allegation: *An allegation should be based on facts which have not been the subject of a previous investigation, and concern alleged activities that are categorized as “breaches” in the Tri-Agency Framework: Responsible Conduct of Research . St. Thomas University advises Complainants to ensure that they are familiar with the Tri-Agency Framework: Responsible Conduct of Research and, as appropriate, the Tri-Council Policy Statement: Ethical Conduct for Research Involving Human Beings (TCPS 2).*

Breach of the *Tri-Agency Framework: Responsible Conduct of Research* (Please refer to the RCR Framework for definitions of these breaches)

Check all that apply.

- Fabrication
- Falsification
- Destruction of research records
- Plagiarism
- Redundant publications/self-plagiarism
- Invalid authorship
- Inadequate acknowledgment
- Mismanagement of conflict of interest
- Misrepresentation in an Agency application or related document
- Mismanagement of grant or award funds
- Breach of Agency policies or requirements for certain types of research
- Breach of Agency review process
- Other: _____

Brief summary of allegation

<p>Brief summary of allegation (continued)</p>	
<p>Has this allegation been submitted to any other institutional official(s) within the institution?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please indicate to whom the allegation was sent and the date on which it was sent. Name and position: Date sent:</p>
<p>To the best of your knowledge, have the facts of this allegation been the subject of a previous investigation?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

3. Supporting documentation: *Please attach all supporting documentation and information related to the alleged breach, if available. If you are submitting the allegation anonymously, please ensure to include all relevant documentation to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based.*

List supporting documents and information

4. Respondent Information: *A respondent is an individual who is identified in an allegation as having possibly breached Agency and/or institutional policy.*

Name(s) of Respondent(s):

Name of Institution(s):

Position(s) at Institution:

Email address of Respondent(s), if known:

As a Complainant, I understand the importance of **confidentiality** of the Responsible Conduct of Research process and of all affected parties. By submitting this form, I declare that this allegation is based on facts which have not been, to the best of my knowledge, the subject of a previous investigation. I also declare that this allegation is made in **good faith**.

Yes No

Signature of Complainant

(not required if allegation is being submitted anonymously)

Date submitted to Institution's RCR Contact