



PROCEDURE FOR POLICY 7.0 – Procedures for Addressing Breach Allegations

Everyone in the University community plays an important role in the process for addressing an Allegation of a Breach of MAPP 7.0 (the Policy) and in helping to ensure that an Allegation is addressed appropriately and in a timely manner. This document outlines procedures to be followed for those making or involved in

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1.6 Complainants, Respondents or

Anonymous Allegations

1.11 An Allegation made anonymously will be considered only if accompanied by sufficient information or if all relevant facts are publicly available to enable the assessment of the Allegation and credibility of the facts and evidence on which the Allegation is based without the need for further information from the Complainant.

1.11.1 If the University decides to proceed with an anonymous Allegation, the source of the Allegation will not be entitled to participate or receive information on the status of the Allegation or information concerning the outcome of any Initial Inquiry or Investigation conducted in respect of the Allegation.

Multiple Institutions

1.12 If the Allegation involves collaborative Research conducted at multiple institutions or if the Allegation is also being investigated at another institution, the procedures laid out in this document may be modified to facilitate joint or parallel review processes.

Mediation

1.13 At any point after receiving an Allegation and before completing an (o)10 (m)-3 (pl)6 (et)2 (i)1 (pr)7 ollegation ant(n)9.9t((on ah (g)10 (l)6 (dat(r)9nAnfng)10 s)4 (doc)i)6 (al)6 ()3 (t)2alanoplvp()-10

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- relevant unit of the University for review.
- b. Determine if other relevant parties are required to be involved in the process or conduct a parallel review.
 - c. Begin communication with relevant parties to request assistance or to obtain evidentiary or supporting documentation.
 - d. Provide the Complainant with a copy of the Policy and explain the process for dealing with Allegations under the Policy.
 - e. Ensure that relevant requirements of any policy or collective agreement in relation to the Respondent are met.

Notifying the Respondent

- 2.2 If the Respondent is subject to the Policy, within fifteen business days following the receipt of an Allegation, the Vice-President (Research) will notify the Respondent of the Allegation. The notice shall include a summary of all the allegations, describe any interim measures under Section 1.8, and include any documents or other evidence submitted as part of the Allegation.

Response

- 2.3 The Respondent may submit a response to the Allegation within ten business days of this notification. The deadline for the Respondent's submissions may be extended by the Vice-President (Research) on the written request of the Respondent.
- 2.4 Once notified of an Allegation, the Respondent shall not destroy, discard, or otherwise alter any potentially relevant data or other form of information relevant to the Allegation. The Respondent shall also not discuss the Allegation and matters under review with any potential witnesses. The University may take any action necessary to maintain the integrity of the evidence relevant to the Allegation.

Notifying other Relevant Parties

- 2.5 Subject to any applicable laws, including privacy laws:
- Where the Respondent to the Allegation is a faculty member, librarian, or archivist, the Office of Faculty Relations shall be notified.
 - Where the Allegation involves financial misconduct, the University's Internal Audit office shall be notified.
 - Where the Allegation involves human participants or animal Research, the applicable University Research Ethics Board chair and/or the Animal Care Committee chair and

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Lawson Health Research Institute, London Health Sciences Centre and/or St. Joseph's Health Care London shall be notified.

- Where the Allegation is related to activities funded by Tri-Council Agency funds and may involve significant financial, health and safety, or other risks, the Secretariat on Responsible Conduct of Research shall be notified.

III. INITIAL INQUIRY

- 3.1 Within ten business days of receipt of the response, or following the expiration of the response period in Section 2.3 above, the Vice-President (Research) shall appoint up to three qualified individuals to conduct an initial inquiry. The inquiry shall be completed within 30 days of appointment.

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Agency Report following Initial Inquiry

- 3.5 For an Initial Inquiry related to activities funded by Tri-Council Agency funds, the Vice- President (Research) shall provide a report to the Secretariat or Agency at the conclusion of any Initial Inquiry regardless of the finding.

IV. INVESTIGATION

- 4.1 The Investigation shall be facilitated by the Administrator.
- 4.2 Within ten business days of the

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for delay and the expected completion date. The Vice-President (Research) is

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the appeal, and any evidence being relied upon in support of the appeal. The President may appoint a designate to hear an appeal.

- At the request of the Respondent, the President or designate shall convene a meeting to hear oral submissions in respect of the appeal.
- The appeal normally shall be heard within thirty business days of receipt of the appeal and a decision shall