

U.S. PUBLIC HEALTH SERVICE

### C. Definitions

1. In this policy:
  - a. "Complainant" means a person who makes an allegation of Research Misconduct.
  - b. "ORI" means the Office of Research Integrity, the office within the US Department of Health and Human Services that is responsible for Research Misconduct and research integrity activities of the US Public Health Service.
  - c. "Research Misconduct" means the intentional or reckless fabrication, falsification, plagiarism, or other actions that demonstrate a significant departure from accepted practices of the relevant research community for proposing, conducting, or reporting research. Research Misconduct does not include honest error or honest differences in interpretations or judgments of data.
  - d. "Respondent" means the person against whom an allegation of Research Misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There

applicable disciplinary processes.

6. An allegation made in bad faith (with a conscious design to mislead or deceive, a malicious or fraudulent intent or a reckless disregard for, or willful ignorance of, facts that would disprove the allegation) may constitute grounds for disciplinary action against the Complainant, which will be addressed in accordance with applicable disciplinary processes.
7. Respondents may have representation in the course of an inquiry or investigation under this Policy, through a bargaining agent or otherwise, if they choose to do so.
8. Members of the University community will cooperate with the Scholarly Integrity Officer and other University officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the Scholarly Integrity Officer

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2. Who may make allegations: Allegations of Research Misconduct may be made by any person within or outside the University who has reasonable grounds to suspect that Research Misconduct is occurring or has occurred, and is not being addressed under University policy.
3. Filing allegations of Research Misconduct: Allegations of Research Misconduct must be made in writing to the Scholarly Integrity Officer as promptly as possible upon becoming aware of the alleged Research Misconduct. Allegations should include supporting documentation.
4. Anonymous Allegations: There may be exceptional situations where an individual has a reasonable concern that their career or personal safety may be compromised by raising an allegation of Research Misconduct. Such persons may initiate a confidential conversation with the Scholarly Integrity Officer or submit an anonymous written allegation to writt an onse (cd1 TD(I)1(n)2.2(t)-2

- a. The Scholarly Integrity officer will appoint an Associate Dean Research at Dalhousie to



of an interview report, which will be forwarded to the interviewee for confirmation that the report fairly summarizes the interview.

- h. Where the investigation uncovers information that suggests significant breaches of this Policy beyond what was contained in the initial allegation, the Investigation Committee shall refer those matters back to the Scholarly Integrity Officer for further direction.
15. Draft investigation report: The Investigation Committee will provide a draft investigation report, which may be partially redacted to address privacy or security concerns, to the Respondent, and in appropriate circumstances, as determined by the Scholarly Integrity Officer, to the Complainant. The Investigation Committee's draft report must include:
    - a. A summary of the allegation(s);
    - b. A summary of the response;
    - c. The PHS support, including, for example, grant numbers, grant applications, contracts, and publications listing PHS support;
    - d. An analysis of the evidence relevant to the matters raised;
    - e. Findings of fact with respect to the allegation(s) together with supporting reasons;
    - f. A determination of whether there has been Research Misconduct; and
    - g. Where Research Misconduct is found, an assessment of the severity of the Research Misconduct, and a review of any mitigating factors.
  16. Review by Scholarly Integrity Officer: The Scholarly integrity Officer will review the draft report to ensure that it is clear and that it meets the requirements of the Policy and in so doing, may seek further clarification from, or investigation by, the Investigation Committee before the draft investigation report is completed.
  17. Comments on the draft investigation report: The Scholarly Integrity Officer will provide a copy of the draft investigation report, which may be partially redacted to address privacy or security concerns, to the Respondent for comment. The Respondent will have 14 calendar days to provide written comments to the Scholarly Integrity Officer. In appropriate circumstances, as determined by the Scholarly Integrity Officer, the Complainant will be extended the same privilege. The Investigation Committee will consider such comments and prepare a final investigation report, which also attaches the comments thereto.
  18. Final investigation report: The Scholarly Integrity Officer will forward the final investigation report, which may be partially redacted to address privacy or security concerns, to the Respondent, and in appropriate circumstances, as determined by the Scholarly Integrity



Officer, to the Complainant.

19. Consideration by the Vice President Research: The Scholarly Integrity Officer will also forward the un-redacted final investigation report and the attached comments to the Vice President R-Pill arl:

- d. information regarding any appeal, and
  - e. Confirmation of University actions in response to final findings of Research Misconduct.
24. Time limits: An inquiry should take no more than 60 calendar days from the receipt of the allegation. This period may be extended by the Scholarly Integrity Officer only if the circumstances clearly warrant a longer period. The reasons for doing so must be included in the inquiry record. An investigation should be completed within 120 days of appointing the Investigation Committee. Any request for an extension must be made in writing by the Scholarly Integrity Officer to ORI.