



## Checklist – Inquiry and/or Investigation Reports

Reports should include the following elements:

1.	<p><b>Date received</b></p> <ul style="list-style-type: none"> <li>▪ Indicate the date that the allegation was first received by the Institution and, if different, the date that the allegation was brought to the attention of the institution's RCR contact.</li> </ul>	
2.	<p><b>Allegation</b></p> <ul style="list-style-type: none"> <li>▪ Describe the allegation or allegations.</li> <li>▪ Indicate which articles of the Institution's policy on responsible conduct of research and RCR Framework have allegedly been breached. (See public interpretation on <a href="#">Definition of Breach</a>).</li> </ul>	
3.	<p><b>Parties involved</b></p> <ul style="list-style-type: none"> <li>▪ List the names, positions and affiliations of the Complainant(s) and the Respondent(s).</li> <li>▪ Where applicable, list the names, positions and affiliations of any other relevant parties to the allegation, e.g., students, supervisors, co-investigators, lab staff, etc.</li> </ul>	
4.	<p><b>Source of funding</b></p> <ul style="list-style-type: none"> <li>▪ Indicate whether the allegation involves Agency funds.</li> <li>▪ If Agency funds or applications are involved, list the following information: <ul style="list-style-type: none"> <li>○ titles of grants;</li> <li>○ competition years;</li> <li>○ amount of funding received, in total and per year;</li> <li>○ the names of the principal investigators and, if possible;</li> <li>○ the grant or award ID numbers.</li> </ul> </li> </ul>	
5.	<p><b>Inquirer(s)</b></p> <ul style="list-style-type: none"> <li>▪ If the process is an inquiry, list the names, positions, affiliations and expertise of the person or people tasked with conducting the inquiry.</li> <li>▪ Include a statement confirming that the people conducting the inquiry are free of conflict of interest in relation to the allegation.</li> </ul> <p><b>Investigation Committee</b></p> <ul style="list-style-type: none"> <li>▪ If the process is an investigation, list the names, positions, affiliations and expertise of the members of the investigation committee.</li> <li>▪ Indicate which member is external to the Institution. (See public interpretation on <a href="#">External Member</a>.)</li> <li>▪ Include a statement confirming that the committee members are free of conflict of interest in relation to the allegation.</li> </ul> <p>See public interpretation on <a href="#">Inquiry vs Investigation</a> for the distinction between an inquiry and an investigation.</p>	
6.	<p><b>Process</b></p> <ul style="list-style-type: none"> <li>▪ Describe the process used to conduct the inquiry or investigation.</li> <li>▪ Include timelines, lists of individuals interviewed (if applicable), and documents reviewed (e.g., published or unpublished works).</li> <li>▪ Indicate whether all relevant parties have had an opportunity to be heard. (See public interpretation on <a href="#">Opportunity to be Heard</a>.)</li> </ul>	



7.	<p><b>Analysis</b></p> <ul style="list-style-type: none"> <li>▪ Summarize the information gathered, and the facts identified, during the inquiry or investigation.</li> <li>▪ Ensure that the summary includes information on the Respondent’s response to the allegation(s), and the measures that the Respondent may have taken to remedy the breach, if applicable.</li> </ul>	
8.	<p><b>Findings - Inquiry</b></p> <ul style="list-style-type: none"> <li>▪ If the process is an inquiry, indicate whether or not the allegation is responsible and whether an investigation is warranted. (See public interpretations on <a href="#">Responsible Allegation</a> and <a href="#">Inquiry vs Investigation</a>.)</li> <li>▪ Provide the evidentiary basis or rationale for this determination.</li> <li>▪ If a breach is confirmed (see public interpretation on <a href="#">Definition of Breach</a>), indicate which article of the RCR Framework was breached, who was responsible and provide the evidentiary basis or rationale for this determination.</li> </ul> <p><b>Findings – Investigation</b></p> <ul style="list-style-type: none"> <li>▪ If the process is an investigation, indicate whether a breach occurred (see public interpretation on <a href="#">Definition of Breach</a>), which article of the RCR Framework was breached and who was responsible.</li> <li>▪ Provide the evidentiary basis or rationale for this determination.</li> </ul>	
9.	<p><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>▪ List any recommendations, for the Institution, for the Respondent, or for any other parties that arise from the process.</li> </ul>	
10.	<p><b>Additional elements</b></p> <p>Where appropriate, reports should also include:</p> <ul style="list-style-type: none"> <li>▪ An assessment of the severity, intentionality and impact of the breach (if confirmed).</li> <li>▪ A description of any systemic issues, whether individual or institutional, that may have contributed to the breach.</li> </ul>	

If you have questions or require further assistance, please contact the Secretariat on Responsible Conduct of Research at [secretariat@scrr-scrr.gc.ca](mailto:secretariat@scrr-scrr.gc.ca).