Allegation Submission Template for Breaches by Institutions

When SRCR receives an allegation of institutional non-compliance, it conducts a preliminary assessment to determine whether the allegation falls within its remit and, if yes, the most appropriate mechanism for addressing it.

To ensure that SRCR has enough information to proceed with its assessment, please provide the information listed below.

Section 1: Complainant Information

An individual or representative from an organization who has notified SRCR of a potential breach of Agency policy by an institution.

Name of Complainant:	
Affiliation with the institution (if applicable):	
Email address:	
Telephone:	
I would like to submit this allegation anonymously	☐ Yes ☐ No In checking "yes", I request that the Secretariat protect my identity as the complainant to the extent possible. However, a) I acknowledge and accept that my anonymity cannot be guaranteed, and b) The need for anonymity can sometimes render an allegation impossible to pursue.

Section 2: Institution Information

A university, hospital, college, research institute, centre or other organization eligible to receive and administer Agency funds that is alleged to have breached an Agency policy.

Name of institution(s):	
Name of the institutional official who is aware of my concern:	

Section 3: Allegation

An allegation of institutional non-compliance must be based on facts which have not been previously assessed, and which fall within Sections 4.3 and 4.4 of the RCR Framework.

a. Brief summary of allegation (*maximum 1000 characters*)

b. Applicable Agency policies

Please list the Agency policy(ies), and the relevant sections, that the institution is alleged to have breached.

c. Applicable institutional policies

Does the allegation involve an alleged breach of an institutional policy that the institution is required to have in order to meet its obligations to the Agencies (e.g., the institution's RCR policy)?

If yes, please provide a link to, or an electronic copy of, the institutional policy(ies) alleged to have been breached. Please ensure to provide the version of the policy(ies) that was in force at the time of the alleged breach.

d. Has this allegation been submitted to any other entities within or external to the institution?

☐ Yes ☐ No

If yes, please indicate to whom the allegation was sent and the date on which it was sent.

Name of the entity:	
Name and position to whom the allegation was sent:	
Date sent:	

e. To the best of your knowledge, have the facts of this allegation been the subject of a previous investigation, whether completed or still underway, by another entity? (e.g., Ombuds service, provincial or federal court, a Tribunal or a Commission).

☐ Yes ☐ No

Section 4: Supporting documentation

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.

a. List of supporting documents and information

Section 5: Consent for the Secretariat to communicate with the institution and other entities

☐ As a Complainant, I understand that the Secretariat will need to communicate with the institution alleged to have breached Agency policy, or other entities as described in section 3(d) of this form, to: determine jurisdiction, and, to seek a response to the allegation from the institution(s).

☐ I authorize the Secretariat to communicate with the institution and other entities, as described in section 3(d), for these purposes.

Section 6: Confidentiality

By signing this form, I, as a complainant, acknowledge the importance of **confidentiality** of the RCR process and of all affected parties and attest that this allegation is made in good faith.

Signature of Complainant *(not required if allegation is being submitted anonymously)*	**Date submitted to the Secretariat**