National Defence Défense nationale

CANADIAN ARMED FORCES

SCIENCE INTEGRITY POLICY

BREACH PROCESS FACT SHEET

The Department of National Defence (DND) and Canadian Armed Forces (CAF) Science Integrity Policy (SIP) seeks to foster and promote a culture of scientific integrity and to ensure the relevance and reputation of DND/CAF research, science and technology expertise.

The SIP applies to all DND employees and CAF members who design, conduct, communicate, manage, review or make use of defence and security research, science or related activities, and/or DND research facilities. This includes external contractors, collaborators and clients, as well as visiting scientists and students.

Science Integrity Policy breach process guidelines

The Breach Process Guidelines are intended to assist in understanding the required process for the submission, assessment and investigation of SIP breaches.

These guidelines uphold seven principles for any allegations of SIP breaches and any assessment, investigation or adjudication must follow the following principles:

1. *Independence and impartiality*
2. *Confidentiality*
3. *Procedural fairness*
4. *Good faith and fair dealing*
5. *Informal consultation, mediation and dispute resolution*
6. *Right of union, legal or other representation*
7. *Positive working relationships*

What is a breach of scientific integrity?

A ***breach of scientific integrity*** is defined as:

- ***Scientific misconduct***: behaviour normally in the direct conduct or preparation of scientific activity by individuals inconsistent with or violating the following SIP provisions.(7.3.3, 7.4.2, 7.4.3, 7.4.4, 7.4.9, 7.5.1, 7.5.2, 7.5.3, 7.5.6, 7.8)
- ***Unethical or unprofessional behaviour***: behaviours of managers, supervisors or other relevant personnel in support of scientific activity, inconsistent with or violating the following SIP provisions. (7.3.3, 7.3.4, 7.4.6, 7.4.7, 7.5.4, 7.5.7)

Policy ***non-compliance*** refers to behaviours inconsistent with other specified provisions in the SIP and fall outside of the Breach process. Policy non-compliance is subject to organizational corrective measures

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How are breaches of scientific integrity addressed?

The process for addressing a potential breach of Scientific Integrity involves a sequence of up to five phases. Not all phases would be utilized in a breach allegation. Certain phases include actions taken prior to the submission of an allegation and the final phase leads to the formal resolution of the allegation, which could include corrective measures. Please note that a formal resolution can occur at certain stages within the process should the issue be resolved.

Phase 1. Detection and consultation

Phase 2. Notification and assessment

Phase 3. Structured alternative dispute resolution (ADR) (if appropriate)

Phase 4. Breach investigation (informal and formal if required)

Phase 5. Resolution and conclusion

A process overview is presented at figure 1.

Breach process roles and responsibilities

Science Integrity Lead (SIL): responsible for the process and resulting decisions.

The Office of Scientific Integrity (OSI): the team dedicated to departmental administration of the SIP.

Case manager (CM): ensures that cases are conducted properly and in accordance with the SIP guidelines.

Alleger: the originator(s) or source of the allegation.

Respondent*:* the person(s) who allegedly breached scientific integrity.

SIP Breach Head of Response: the individual designated to oversee and manage a breach allegation investigation, if initiated.

Expert advisor to the Head of Response: an impartial individual with knowledge of the scientific/research field central to the complaint.

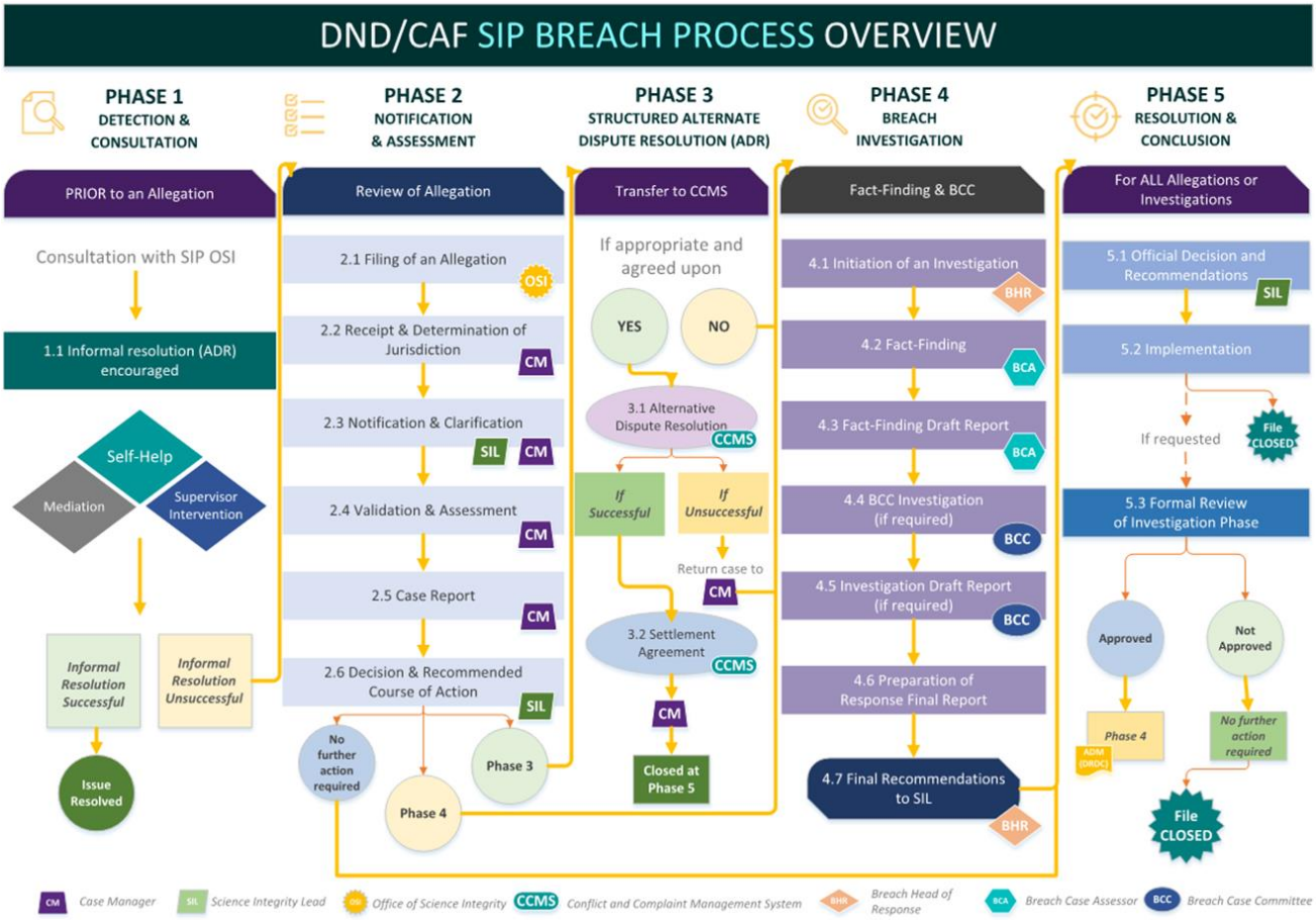
Breach Case Assessor(s) (BCA): appointed to conduct the “Fact-Finding” stage of an informal investigation.

Breach Case Committee (BCC): a committee of independent experts chosen to conduct a formal investigation if needed.

Science Integrity Committee: an advisory body to the SIL to consider the findings and recommendations of an assessment or investigation.

For questions, please contact: *ScienceIntegrity-IntegriteScientifique@forces.gc.ca.*

Figure 1


DND/CAF SIP BREACH PROCESS OVERVIEW
PHASE 1
DETECTION & CONSULTATION
PHASE 2
NOTIFICATION & ASSESSMENT
PHASE 3
STRUCTURED ALTERNATE DISPUTE RESOLUTION (ADR)
PHASE 4
BREACH INVESTIGATION
PHASE 5
RESOLUTION & CONCLUSION
PRIOR to an Allegation
Consultation with SIP OSI
1.1 Informal resolution (ADR) encouraged
Self-Help
Mediation
Supervisor Intervention
Informal Resolution Successful
Informal Resolution Unsuccessful
Issue Resolved
Review of Allegation
2.1 Filing of an Allegation
OSI
2.2 Receipt & Determination of Jurisdiction
CM
2.3 Notification & Clarification
SIL
CM
2.4 Validation & Assessment
CM
2.5 Case Report
CM
2.6 Decision & Recommended Course of Action
SIL
No further action required
Phase 3
Phase 4
Transfer to CCMS
If appropriate and agreed upon
YES
NO
3.1 Alternative Dispute Resolution
CCMS
If Successful
If Unsuccessful
Return case to
CM
3.2 Settlement Agreement
CCMS
CM
Closed at Phase 5
Fact-Finding & BCC
4.1 Initiation of an Investigation
BHR
4.2 Fact-Finding
BCA
4.3 Fact-Finding Draft Report
BCA
4.4 BCC Investigation (if required)
BCC
4.5 Investigation Draft Report (if required)
BCC
4.6 Preparation of Response Final Report
4.7 Final Recommendations to SIL
BHR
For ALL Allegations or Investigations
5.1 Official Decision and Recommendations
SIL
5.2 Implementation
If requested
File CLOSED
5.3 Formal Review of Investigation Phase
Approved
Not Approved
Phase 4
ADM (DRDC)
No further action required
File CLOSED
CM Case Manager
SIL Science Integrity Lead
OSI Office of Science Integrity
CCMS Conflict and Complaint Management System
BHR Breach Head of Response
BCA Breach Case Assessor
BCC Breach Case Committee