

Responsible Conduct of Research Policy

Policy Type: Academic

Policy Owner: Vice President, Finance, Administration, and Applied Research

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Corresponding Procedure: [Procedure for Investigation of Alleged Breach in Conduct of Research](#)

Purpose

To establish Cambrian College's ("the College") expectations for responsible conduct of research and to affirm the College's commitment to research, integrity, scholarship, and compliance with the [Tri-Agency Framework for Responsible Conduct of Research](#).

Scope

This policy applies to:

- All employees while engaged in research during their employment with the College;
- All students conducting research during the course of their studies; and
- Any other individuals involved in research activities at or associated with the College.
- All individuals applying for, or in receipt of, Tri-Agency funds for research associated with the College

Definitions

Agencies: Canada's three federal granting agencies: the Canadian Institutes of Health Research (CIHR); the Natural Sciences and Engineering Research Council of Canada (NSERC); and the Social Sciences and Humanities Research Council of Canada (SSHRC).

Allegation: a declaration, statement, or assertion communicated in writing to an Institution

or Agency to the effect that there has been, or continues to be, a breach of one or more Agency policies, the validity of which has not been established.

Complainant: an individual or representative from an organization who has notified an Institution or Agency of a potential breach of research integrity.

Funding agreement: a written agreement that sets out the terms and conditions that an Agency and a researcher agree to for a particular grant or award. It defines the researcher's responsibilities, what constitutes a breach of the agreement, and the consequences of a breach.

Honourary authorship: listing individuals as authors on a publication who have not made a significant contribution to the research.

Institution: the universities, hospitals, colleges, research institutes, centres and other organizations eligible to receive and manage Agency grant funds on behalf of the grant holders and the Agencies.

Research: an undertaking intended to extend knowledge through a disciplined inquiry and/or systematic investigation.

Tri-Agency Framework: Responsible Conduct of Research: describes Agency policies related to applying for and managing Agency funds, performing research, and disseminating results, and the processes that Institutions and Agencies follow in the event of an allegation of a breach of an Agency policy.

Policy Statements

1. General

- 1.1. Cambrian College expects and requires adherence to the highest standards of intellectual honesty, integrity in research, appropriate methodology, ethical standards of discipline and the refusal to engage in, or to condone, instances of fraud or misconduct.
- 1.2. The College is committed to:
 - a. Providing appropriate support mechanisms that guide and ensure research is conducted with honesty, integrity, and intellectual competence.
 - b. Promoting and communicating practices regarding the importance of

responsible conduct in research and that articulate the high level of ethical standards required in research, teaching, and other aspects of scholarship.

- c. Creating and supporting an open and positive environment that protects the right of the Researcher to pursue honest, responsible, and thoughtful inquiry, rigorous analysis and dissemination of research results.

- 1.3. Research conducted under the auspices of the College shall comply with the [Tri-Agency Framework: Responsible Conduct of Research](#).

2. Responsibilities of Researchers

- 2.1. Researchers shall strive to follow the best research practices honestly, accountably, openly and fairly in the search for and in the dissemination of knowledge.
- 2.2. Researchers must adhere to the requirements of applicable College policies and comply with all applicable Agency requirements and legislation for the conduct of research and management of funds, professional or disciplinary standards, and all applicable laws and regulations.
- 2.3. Researchers are responsible for:
 - a. Familiarizing themselves with principles of responsible conduct or research and for the application of these principles to foster a positive and constructive research-working environment as outlined in the [Tri-Agency Framework: Responsible Conduct of Research](#).
 - b. Providing appropriate supervision of, and training to, their trainees and research personnel in responsible conduct of research when in an oversight role.
 - c. Rigour: scholarly and scientific rigour in proposing and performing research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings.
 - d. Record keeping: Keeping complete and accurate records of data, methodologies and findings, including graphs and images, in accordance with the applicable funding agreement, institutional policies, laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of the work of others.
 - e. Accurate referencing: Referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including theories, concepts, data, source material, methodologies, findings, graphs and images.

- f. Authorship: Including as authors, with their consent, all those and only those who have made a substantial contribution to, and who accept responsibility for, the contents of the publication or document. The substantial contribution may be conceptual or material.
- g. Acknowledgement: Acknowledging appropriately all those and only those who have contributed to research, including funders and sponsors.
- h. Conflict of interest management: Appropriately identifying and addressing any real, potential or perceived conflict of interest, in accordance with the College's policy on Conflict of Interest in research, in order to ensure that the objectives of the Tri-Agency Framework are met.

3. Breaches by Research Integrity

- 3.1. For the purposes of this policy, a breach is an action that compromises research integrity and fails to comply with related College research policies, the Tri-Agency Framework: Responsible Conduct of Research, and/or Agency policies throughout the life cycle of a research project – from application for funding, to the conduct of the research and the dissemination of research results.
- 3.2. Breaches may include, but are not limited to the following:
 - a. Fabrication: Making up data, source material, methodologies or findings, including graphs and images.
 - b. Falsification: Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without appropriate acknowledgement, such that the research record is not accurately represented.
 - c. Destruction of research data or records: The destruction of one's own or another's research data or records or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards. This also includes the destruction of data or records to avoid the detection of wrongdoing.
 - d. Plagiarism: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate referencing and, if required, without permission.
 - e. Redundant publication or self-plagiarism: The re-publication of one's own previously published work or part thereof, including data, in any language, without adequate acknowledgment of the source, or justification.

- f. Invalid authorship: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have made a substantial contribution to, and who accept responsibility for, the contents, of a publication or document.
- g. Inadequate acknowledgement: Failure to appropriately recognize contributors.
- h. Mismanagement of Conflict of Interest: Failure to appropriately identify and address any real, potential or perceived conflict of interest, in accordance with the College's policy on Conflict of Interest in research, Tri-Agency Framework: Responsible Conduct of Research, and all applicable laws and regulations.
- i. Misrepresentation in Agency Application or Related Document: Providing incomplete, inaccurate or false information in a grant or award application or related document, applying for and/or holding an Agency award when deemed ineligible by a research funding organization for reasons of breach of responsible conduct of research; or listing co-applicants, collaborators or partners without their agreement.
- j. Mismanagement of Grants or Awards Funds: Failing to meet Agency policy requirements or, to comply with relevant policies, laws or regulations, for the conduct of certain types of research activities; failing to obtain appropriate approvals, permits or certifications before conducting these activities.

4. Addressing Allegations of Breaches

- 4.1 Alleged breaches of this policy shall be addressed in accordance with the Procedure for Investigation of Alleged Breach in Conduct of Research.
- 4.2 All parties involved in the conduct of college-approved research have an obligation to report to the College Vice President, Applied Research any situations which they believe may breach this policy.
- 4.3 The College will consider anonymous allegations if accompanied by sufficient information to enable the assessment of the allegation and the credibility of facts and evidence on which the allegation is based, without the need for further information from the complainant.
- 4.4 In the event of any evidence or allegations of a breach of this policy, the College shall undertake an investigation to determine if, in fact, a breach has occurred.
- 4.5 The College ensures a fair, objective, and comprehensive process for addressing and investigating an allegation of breach.

- 4.6 The process shall take such steps as may be reasonable to protect the privacy of all parties and to protect against any retribution or coercion of complainants.
- 4.7 The College shall advise the relevant agency or Secretariat on Responsible Conduct of Research ("SRCR") immediately of any allegations related to activities funded by the agency. The College will also advise the SRCR whether or not it is proceeding with an investigation.
- 4.8 The College shall follow all reporting obligations to the SRCR as set out in the Tri-Agency Framework.
- 4.9 The College may independently, or at the Agency's request in exceptional circumstances, take immediate action to protect the administration of Agency funds.
- 4.10 Where the allegation related to the conduct that occurred at another Institution (whether as an employee, a student or in some other capacity), the Institution that receives the allegation will contact the other Institution and determine with that Institution's designated point of contact which Institution is best placed to conduct the inquiry and investigation, if warranted. The Institution that received the allegation must communicate to the complainant which Institution will be the point of contact for the allegation.

5. Discipline and Penalties

- 5.1 In cases where a breach of policy has occurred, such determination is cause for discipline in accordance with either the appropriate collective agreement or college policies/regulations/practices in place.
- 5.2 Penalties for breach of this policy may include, but are not limited to, one or more of the following:
 - a. Ongoing monitoring of the research project, with scheduled reports provided by the Principal Investigator(s) to the Chair of the Research Ethics Committee, or to such official as appointed by the College's Vice President, Applied Research.
 - b. Issuing a letter of concern to the researcher.
 - c. Advising the research that the College will not support any applications for future research for a defined period or indefinitely.
 - d. Suspension of the research project.
 - e. Reimbursement to the College of any misappropriated funds.

- f. A summary report of the investigation into the allegations being placed in the personnel file of an employee and/or academic file of a student.
- g. Suspension of duties of an employee for a prescribed period in accordance with the terms of any applicable collective agreement, and/or suspension of a student.
- h. Dismissal of an employee and/or expulsion of a student.
- i. Public disclosure of the breach.
- j. Any other recourse available by law.

5.3 The College endeavours to remedy any damage or inconvenience caused by the breach of integrity of the researcher(s).

Responsibilities and Accountability

Vice President, Finance, Administration, and Applied Research is responsible for:

- Ensuring the oversight, communication, promotion, and compliance of this policy.

Applied Research is responsible for:

- Managing the Procedure for Investigation of Alleged Breach in Conduct of Research.
- Providing a full copy of any report arising from an investigation to the agency from who the researcher received funding as well as to the Tri-Council as appropriate.

Administrators are responsible for:

- Being familiar with this policy and its associated procedure.
- Maintaining awareness of ongoing research within their areas of responsibility.
- Ensuring that faculty, staff, and students under their supervision comply with College requirements.

Researchers are responsible for:

- Understanding and complying with this policy, associated research and related procedures, the Tri-Agency Framework: Responsible Conduct of Research, and all applicable laws and Agency requirements associated with conducting research.
- Being proactive in rectifying a breach of this policy.

Procedures/Forms

- Procedure for Investigation of Alleged Breach in Conduct of Research
- [Records Retention Schedule](#)

Related Policies

- [Code of Conduct Policy](#)
- [Conflict of Interest Policy](#)
- [Ethical Conduct of Research Involving Humans Policy](#)
- [Internal Privacy Policy](#)
- [Intellectual Property Policy](#)
- [Records Retention Policy](#)

References

- [Copyright act](#)
- [Tri-Council Research Integrity Policy 2022](#)
- [Tri-Agency Framework: Responsible Conduct of Research 2021](#)
- [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans – TCPS 2](#)