RESPONSIBLE CONDUCT OF RESEARCH

This document is the parent policy for any College procedures. Questions regarding this policy are to be directed to the identified Policy Owner.

Category:	D. Student / Academic
Policy Number:	D38
Approval Date:	February 12, 2018
Effective Date:	February 12, 2018
Policy Owner:	Vice President, Research

Objective:	The goal of this policy is to foster responsible research at Olds College as well as to align with the policies of external funding agencies in order to facilitate funding applications. This policy describes the rights and responsibilities of researchers at Olds College in undertaking research, and describes the responsibility of management to promote responsible research at the College. It also describes the mechanisms for filing allegations of breaches of the Responsible Conduct of Research Policy, as well as receiving, review, investigation, recourse and appeal of alleged breaches.
Policy:	This policy and its procedures have been developed to be fully compliant with the Tri-Agency Framework: Responsible Conduct of Research, and Canadian regulatory and granting agencies. The Vice President responsible for Applied Research, or delegate, is responsible for: • Promoting awareness to members of the Olds College community of what constitutes the responsible conduct of research, including Olds College requirements as set out in Olds College policies, the consequences of failing to meet them, as well as the process for addressing allegations, • Making public annual reports on confirmed findings of breaches of that policy as well as actions that were taken by the College, subject to applicable laws, including privacy laws, • Being the central point of communication and contact responsible for receiving confidential enquiries, allegations and information related to allegations of breaches of policies. **RESPONSIBILITIES OF RESEARCHERS** **Scope**: Olds College requires that all persons conducting research at or in conjunction with Olds College comply with this policy and responsible conduct of research requirements. **Promoting Research Integrity:** Researchers shall strive to follow the best research practices honestly, accountably, openly and fairly in the search for and in the dissemination of knowledge. In

addition, researchers shall follow the requirements of applicable institutional policies and professional or disciplinary standards and shall comply with applicable laws and regulations.

At a minimum, researchers are responsible for the following:
- Using a high level of rigor in proposing and performing research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings.
- Keeping complete and accurate records of data, methodologies and findings, including graphs and images, in accordance with the applicable funding agreement, institutional policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of the work by others.
- Referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methodologies, findings, graphs and images.
- Including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions, and authorship policies of relevant publications.
- Acknowledging, in addition to authors, all contributors and contributions to research, including writers, funders and sponsors.
- Appropriately managing any real, potential or perceived conflict of interest.

Applying for and Holding External Funding:
Applicants and holders of external grants and awards shall provide true, complete, and accurate information in their funding applications and related documents. They must represent themselves, their research, and their accomplishments in a manner consistent with the norms of the relevant field.
- Applicants must certify that they are not currently ineligible to apply for, and/or hold, funds from Tri-Council agencies (NSERC, SSHRC, CIHR) or any other research funding organization for reasons of breach of responsible conduct of research policies such as ethics, integrity, or financial management policies.
- Principal funding applicants must ensure that others listed on the application have agreed to be included.

Management of Grants and Award Funds:
Olds College ensures that research funds are administered with a high degree of responsibility and accountability. All research funded by the Tri-Council must be administered in accordance with the Tri-Council Agreement on the Administration of Agency Grants and Awards by Research Institutions as well as the Tri-Agency Financial Administration Guide. Researchers are responsible for using grant or award funds in accordance with the policies of the awarding agency, and for providing true, complete, and accurate information on documentation for expenditures from grant or award accounts.

Requirements for Certain Types of Research:
All applied research conducted by Olds College faculty, staff or students and whether with human or animal subjects, must be done in an ethical manner, in accordance with the Responsible Conduct of Research policy requirements of the Tri-Council. Researchers must comply with all applicable requirements and legislation for the conduct of research including but not limited to:
- Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (current edition)

- Canadian Council on Animal Care Policies and Guidelines
- Agency policies related to the Canadian Environmental Assessment Act
- Licenses for research in the field
- Laboratory Biosafety Guidelines
- Controlled Goods Program
- Canadian Nuclear Safety Commission (CNSC) Regulations
- Canada Food and Drugs Act
- Health Canada's Regulatory Directive: Good Laboratory Practice

BREACHES OF POLICY BY RESEARCHES
Examples of Breaches of Policy:
The College promotes integrity in research and investigates possible instances of misconduct or breach of policy in research integrity.

1. **Breaches of Policy** include, but are not limited to, the following:

   - **Fabrication:** Making up data, source material, methodologies, or findings, including graphs and images.
   - **Falsification:** Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.
   - **Destruction of research records:** The destruction of one's own or another's research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards.
   - **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 without permission.
   - **Redundant publications:** The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.
   - **Invalid authorship:** Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.
   - **Inadequate acknowledgement:** Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.
   - **Mismanagement of Conflict of Interest:** Failure to appropriately manage any real, potential, or perceived conflict of interest, in accordance with the Olds College policy on Conflict of Interest (A7).

2. **Misrepresentation in an Application of Related Document:** Providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report; Applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other research organization for reasons of breach of responsible conduct of research policies such as ethics, integrity, or

financial management policies; or Listing of co-applicants, collaborators, or partners without their agreement.

3. **Mismanagement of Grants or Award Funds**: Using grant or award funds for purposes inconsistent with the policies of the awarder; Misappropriating grants and award funds; Contravening Olds College financial policies; or Providing incomplete, inaccurate, or false information on documentation for expenditures from grant or award accounts.

4. **Breaches of Policy or Requirements for Certain Types of Research:** Failing to meet Olds College policy requirements or to comply with relevant policies, laws or, regulations for the conduct of certain types of research activities; or Failing to obtain appropriate approvals, permits or certifications before conducting these activities.

5. **Breach of Tri-Agency review processes**: Non-compliance with the conflict of interest and confidentiality policy of the federal research funding agencies.

Major Breaches: In determining whether a breach is serious, Olds College will consider the extent to which the breach jeopardizes the safety of the public or brings the conduct of research into disrepute. This determination will be based on an assessment of the nature of the breach, the level of experience of the researcher, whether there is a pattern of breaches by the researcher and other factors as appropriate. Examples of serious breaches may include:

- Recruiting human participants into a study with significant risks or harms without Research Ethics Board approval, or not following approved protocols;
- Using animals in a study with significant risks or harms without Institutional Animal Care and Use Committee approval, or not following approved protocols;
- Deliberate misuse of grant funds for personal benefit not related to research;
- Knowingly publishing research results based on fabricated data;
- Obtaining grant/award funds from the Tri-Agencies by misrepresenting one's credentials, qualifications and/or research contributions in any application.

Rectifying Breaches of Responsible Conduct of Research Policy: Breach of policy will result in appropriate sanctions in accordance with policy and informing the appropriate council or funding agency of the conclusions reached and the actions taken.

Definitions:	**Tri- Council/Tri- Agency:** The Tri-Council agencies are a major source of research funding for Canadian post-secondary institutions and include 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 (SSHRC). **Breach:** Failure to comply with policy at any time through the life cycle of a research project- from application for funding, to the conduct of research and the dissemination of research results. It includes all activities related to the research, including the management of funds. **Allegation:** A declaration, statement or assertion in writing to the effect that there has been, or continued to be, a breach of one or more policies, the validity of which has not yet been established.

Related Information:	D09 Applied Research A20 Institutional Animal Care and Use C15 Occupational Health and Safety D44 Research Involving Animals D45 Research Involving Humans
Related Procedures:	D38 Responsible Conduct of Research Procedure
Review Period:	3 years
Revision History:	New: 2012 Revised: 2018