



University Policy
University Procedure
Operating Standard
Guideline/Form

Research Integrity Policy

Classification

- c) "Affiliate" means an organization that has a close connection to or formal relationship with the University as defined and interpreted by Council.
- d) "Animal" means any living non-human vertebrate and any living invertebrate of the class of cephalopoda, including free-living and reproducing larval forms used for Research, teaching, breeding, or testing purposes.
- e) "Animal Care Committee" means the University Animal Care Committee, the Health Sciences Animal Care Committee, the Life and Environmental Sciences Animal Care Committee or the Veterinary Sciences Animal Care Committee.
- f) "Conflict of Interest" means activities or situations that may place an individual in a real, potential or perceived conflict between their duties or responsibilities related to Research, and personal, University or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates. This definition of Conflict of Interest is as defined and interpreted by Tri-Council in the Tri-Agency Responsible Conduct of Research Framework.
- g) "Employee" means a person who is employed by the University.

4 Policy Statement

4.1 All Research at the University will be conducted in accordance with the Tri Council Policy Statements, the *Tri-Agency Framework: Responsible Conduct of Research* as well as applicable law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research.

4.2 Deans, Department Heads or the Director of the academic unit will ensure that their Researchers:

- a) understand their responsibilities under this policy;
- b) receive appropriate training through Research Services or other appropriate sources in the skills necessary for the ethical conduct of Research. This may include Tri Council or other reputable training on Research ethics, compliance, safety, or Research security;
- c) are aware of and comply with applicable law, ethical and professional standards, guidelines and policies and contractual obligations relevant to the Research.

4.3 Individuals who undertake Research will be thoroughly familiar with and will comply with the

law, ethical and professional standards, guidelines, policies and contractual obligations relevant to the Research

- 4.6 Research involving Indigenous Peoples will be conducted in accordance with the principles of the *TrCouncil Policy Statement: Ethical Conduct for Research Involving Humans* and the United Nations Declaration on the Rights of Indigenous Peoples.
- 4.7 Research proposals involving Humans will be reviewed by a Research Ethics Board when required by TrCouncil Policy. In some cases, a Research proposal may need to be reviewed by more than one Research Ethics Board.
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- 4.15 The appropriate Animal Care Committee will review the ethics of proposed teaching, Research or testing involving Animals and tissues derived from Animals.
- 4.16 The appropriate Animal Care Committee will determine if the proposed protocols comply with applicable law. If the Animal Care Committee finds that they are compliant, the protocols will be approved by the Animal Care Committee.
- 4.17 Findings of the Animal Care Committee may be appealed to the Vice President (Research).
- 4.18

- f) *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.
- g) *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.
- h) *Failure to declare Conflict of Interest*: Failure to declare any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.
- i) *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived Conflict of Interest in accordance with any applicable Conflict of Interest policies and procedures.

Funding Applications

- 4.22 It is a breach of Research integrity to make a misrepresentation in a funding application or related document, including:
- a) 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;
 - b) applying for and/or holding an award when deemed ineligible by NSERC, SSHRC, CIHR or any other Research or Research funding organization, or for reasons of breach of responsible conduct of Research policies, ethics, integrity or financial management policies; or
 - c) the listing of co-applicants, collaborators or partners without their agreement.

Management of Funds

- 4.23 With respect to Research funds, it is a breach of Research integrity to:
- a) provide incomplete, inaccurate or false information in a grant, award, or other funding application or related document;
 - b) use sponsored Research funds for purposes inconsistent with the policies of the funding agency;
 - c) misappropriate sponsored Research funds;
 - d) contravene the financial policies of the funding agency; or
 - e) provide incomplete, inaccurate or false information on documentation for expenditures from sponsored Research accounts.

Policies and Ethics Approvals

- 4.24 It is a breach of Research integrity to fail to meet funding agency requirements or to fail to comply with relevant policies, laws or regulations.
- 4.25 For certain types of Research activities, including Research involving Humans, Animals, or biohazards, it is a breach of Research integrity to fail to obtain the appropriate approvals, permits or certifications before conducting these Research activities.

Responsibility to Report Breaches of Research Integrity

4.26 Every person that is subject to the policy who has reasonable grounds to believe that a breach of Research integrity is occurring or has occurred shall report the matter, in writing, to the Protected Disclosure Advisor, in accordance with the Procedure for Investigating a Breach of Research Integrity.

Violations

4.27 Violations of this policy will be managed in accordance with the procedure established and maintained by the Vice President (Research), specifically under the Procedure for Investigating a Breach of Research Integrity.

4.28 Individuals found to have violated this policy may lose the privilege of conducting Research and may also be subject to penalties or discipline under University policies and procedures, applicable collective agreements and applicable law.

Records

4.29 Research data and records will be kept in accordance with the University's established record retention rules.

5 Responsibilities

5.1 Researchers will:

- a) become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;
- b) comply with this policy and applicable law, ethical and professional standards, guidelines and contractual obligations for their Research projects;
- c) ensure that all Research they are involved with complies with this policy, applicable law, ethical and professional standards, guidelines and contractual obligations; and
- d) complete the Annual Financial and Compliance and Eligibility Certificate form.

5.2 Deans, Department Heads and Directors of academic units will:

- a) become familiar with the requirements of this policy and the procedure for Investigating a Breach of Research Integrity;
- b) ensure that Researchers in their faculty, department or unit understand their responsibilities under this policy;
- c) ensure Researchers in their faculty, department or unit receive appropriate training through Research Services or other appropriate sources (e.g. TCPS CORE Tutorial, CITI training modules) the skills necessary for the ethical conduct of Research; and

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11 History

This policy will replace the Animal Care and Use Policy (2008); the Human Subject Research Ethics Policy (2008); the Integrity of Scholarly Activity Policy (1995) and the Northern Research Ethics Policy (1977).

December 12, 2014 Approved.

December 12, 2014 Effective.

October 31, 2018 Editorial Revision. Updated definition of "Student".

June 8, 2023 Revised.