



THE UNIVERSITY OF WINNIPEG

POLICY TITLE: **Responsible Conduct of Research and Scholarship Policy**

EFFECTIVE DATE: **March 19, 2018**

APPROVAL BODY: **Board of Regents**

EDITORIAL REVISION: **March 18, 2019**

POLICY PURPOSE

This Policy sets forth the standards for research and scholarship integrity for all Community Members at the University of Winnipeg involved in research and scholarship in any capacity. This Policy promotes integrity among researchers and scholars and provides a framework for investigating Allegations of misconduct in research and scholarship. This Policy does not seek to compromise the principles of academic freedom.

APPLICABILITY

This Policy applies to all UWinnipeg community members including, but not limited to: faculty, professors emeriti, contract academic staff, staff, graduate and undergraduate students, adjunct professors, visiting professors, visiting scholars, senior scholars, professional affiliates, research associates, research assistants, and postdoctoral fellows.

RESPONSIBILITY

The Vice-President, Research and Innovation, is responsible for the development, administration and review of this Policy.



KEY DEFINITIONS

The following definitions apply to terms as they are used in this Policy:

- **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 the Responsible Conduct of Research and Scholarship Policy, the validity of which has not been established.
- **Breach** - A breach of the Responsible Conduct of Research and Scholarship Policy is the failure to comply with the Policy at any time during the life cycle of a research project – from application for funding, to the conduct of the research and the dissemination of research results. It includes all activities related to the research, including the management of funds. Breaches shall include the conduct and activities subsequently outlined in this Policy in the Section “Breaches of Conduct”.
- **Community Members** – those who conduct research, scholarly, and artistic work in affiliation with UWinnipeg.
- **Conflict of Interest** - shall include Conflict of Interest as defined in the University of Winnipeg’s Conflict of Interest Policy and may arise when activities or situations place an individual in a real, potential or perceived conflict between the duties or responsibilities related to research, and personal, institutional 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.
- **Inquiry** - The process of reviewing an Allegation to determine whether the Allegation is responsible, the particular policy or policies that may have been breached, and whether an investigation is warranted based on the information provided in the Allegation.



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- **Investigation** - A systematic process, conducted by an institution's investigation committee, of examining an Allegation, collecting and examining the evidence related to the Allegation, and making a decision as to whether a breach of policy(ies) has occurred.
- **Material** - being of importance or great consequence.
- **Material Financial Interest** - ownership, substantial stock holdings [i.e., greater than or equal to 10% of shares being traded], a directorship, or honoraria or consulting fees over \$1,000., but does not include minor stock holdings in publicly traded corporations, or minor royalties or license fees.
- **Research Support Employees** – research assistants and research associates employed at the University of Winnipeg to assist and perform tasks related to research activities and projects.
- **Secretariat on Responsible Conduct of Research (SRCR)** - the administrative support organization for the Panel on Research Ethics (PRE), the Panel on Responsible Conduct of Research (PRCR), and for the three federal research granting Agencies (CIHR, NSERC and SSHRC) with respect to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*, 2nd edition (TCPS 2), and the *Tri-Agency Framework: Responsible Conduct of Research* (the Framework).
- **Tri-Agency** - Canadian Institutes of Health Research, CIHR; Natural Sciences and Engineering Research Council of Canada, NSERC; and the Social Sciences and Humanities Research Council of Canada, SSHRC.
- **University Officials** - Senior Administrators, Department Chairs, Directors, and Managers of the University of Winnipeg.

POLICY ELEMENTS

Principles

Misconduct in research and scholarship does not include honest error, honest differences of opinion, or honest differences in interpretation or judgment about data, data analyses, or research procedures and methods.



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Lack of awareness of the policies is not a defense for research misconduct.

The University is responsible to promote a greater understanding of research ethics and integrity issues by:

1. Offering workshops and web-based materials for Community Members along with orientation for those who are new to the university;
2. Ensuring that copies of this Policy are accessible to all Community Members;
3. Ensuring that recipients of all research and scholarship grants and funds administered by the University will be required to indicate in writing that they have read and agree to comply with this Policy, before they are able to access those funds;
4. Ensuring that forms used by the University for the purpose of ethics vetting require researchers and scholars to indicate that they have read and agree to comply with this Policy;
5. Endeavour, by working with Deans, curriculum committees, faculty and course instructors, to ensure that education for students on issues of integrity in research and scholarship is in course curricula, especially in courses on research procedures and professional practice; and
6. Making public statistical annual reports on confirmed finding of breaches of this Policy and actions taken, subject to applicable laws, including the privacy laws.

Confidentiality

University Officials will protect the confidentiality of information regarding a potential violation of this Policy to the fullest extent possible.

The University and researcher may not enter into confidentiality agreements or other agreements related to an inquiry or investigations that prevent the University from reporting to the Tri-Council Agencies through the Secretariat



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on Responsible Conduct of Research (SRCR) or to other relevant entities.

University Officials

University Officials are responsible for promoting research, scholarly, and artistic work at the University of Winnipeg conducted with the highest standards of research integrity. They are also responsible for:

1. In accordance with the principles of procedural fairness, dealing expeditiously and fairly with any known instances of Allegations of research misconduct;
2. Encouraging activities that support research integrity among Community Members; and
3. Ensuring that this Policy is communicated to external advisors of student projects.

University Community Members

University Community Members are responsible for conducting their research, scholarly, and artistic work according to the highest standards of research integrity. University Community Members are also responsible for:

1. Obtaining all the required University of Winnipeg and respective agency approvals and training for research including, but not limited to, research involving human and animal subjects, fieldwork, biohazards, radioisotopes, environmental impact;
2. Ensuring that their research, scholarly, and artistic work is conducted in accordance with this Policy and associated Procedures and that they adhere to all reporting requirements;
3. Ensuring students and Research Support Employees are carefully supervised and trained in the conduct of research, scholarly, and artistic work, conference work, including experiments, processing of acquired data, recording of data and other results, interpretation of results, publication, and the storage of research records and materials;



4. Ensuring that this Policy is communicated to co-investigators, collaborators, Research Support Employees and partners to advise them of the importance of the Policy and of the potential consequences of misconduct;
5. Retaining accurately recorded and retrievable research and scholarly materials. The procedure for recording and retaining original research data, and matters related to access, use, publication and ownership of primary research data and other products of research/scholarship, shall be outlined by the principal investigator/supervisor and discussed with co-investigators, collaborators, Research Support Employees and partners at the beginning of a project.
 - a) **Record-keeping:** Good record-keeping is important. When possible, all primary data shall be recorded in clear, adequate, original and chronological form.
 - b) **Retention of records:** Original data for a given study shall normally be retained at the University for at least seven years after the work is published or otherwise publicly presented (if the form of the data permit this, and if assurances have not been given that data would be destroyed to assure anonymity).
 - c) **Access to data:** Subject to the Tri-Council Policy Statement on the Ethical Conduct of Research Involving Humans, supervisors and collaborators shall have access to data and products of their collaborative research. Access does not imply either ownership of, or the unrestricted right to use, data or products.
 - d) **Ownership:** Entitlement to ownership of primary data, software and other products of research and scholarship can vary according to the circumstances under which research/scholarship is conducted. Subject to provisions in collective agreements related to intellectual property, a shared understanding about ownership shall be reached among collaborators, especially between supervisors and their students, and between researchers and Research Support Employees, before the research is undertaken.
6. Reporting conflicts of interest; and



7. Disclosing to the Vice-President, Research and Innovation, any research misconduct of which they have become aware whether or not it is specifically included within this Policy.

Breaches of Conduct

The University considers the following to show lack of integrity, and therefore to be instances of serious misconduct in research and scholarship. Breaches of conduct include, but are not limited to, the following:

1. Falsification, that is, the intentional misrepresentation through alteration, selective omission or manipulation of research design, data or citations.
2. Fabrication, that is, the invention or forging of research data or citations.
3. Plagiarism, that is, intentionally representing the thoughts, writings, inventions, or ideas of another as one's own.¹
4. Abuse of confidentiality, that is, transmitting to a third party, by any means, the ideas or data of a scholar or scientist taken from private discussion, from a manuscript or funding application submitted for review, or from any other exchange of information which is explicitly stated to be, or normally assumed to be, confidential without the written authorization of the originator of the ideas or data.
5. Misappropriation, misallocation, or misuse of money or other resources supplied for research or scholarly purposes or the use of funds for a purpose not authorized by the funding source.
6. Providing incomplete, inaccurate or false information on documentation for expenditures from grant or award accounts.
7. Material failure to comply with federal or provincial regulations for the protection of researchers, scholars, human participants or the

¹Cases of student plagiarism where a student has submitted course work that is not their own work shall be dealt with following the Academic Misconduct Policy.



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- public, or for the welfare of animal subjects, or Material failure to meet other legal requirements that relate to the conduct of research.
8. Failure to reveal to those who sponsor or commission work any Conflict of Interest when asked to undertake reviews consisting of but not limited to, funding applications, manuscripts for publication, theses, or to test products for sale or distribution to the public.
 9. Failure by those involved in contract vetting and awarding or otherwise aware of the contract, to disclose to the University any potential Conflict of Interest or Material Financial Interest in a company that contracts with the University to undertake research, to participate in research involving the company's products, or to provide research related materials or services.
 10. Failure of the author(s) of a work to include as co-authors or to provide other appropriate acknowledgement for individuals who have made Material contributions to the conception, design, or execution of a work, to the interpretation of data, or to the drafting of a manuscript. Inclusion as co-authors of individuals who have not made substantial contributions to a work is also considered to be misconduct.
 - a) Where departments or programs have defined criteria for authorship, these shall be distributed to all department researchers and scholars and shall be adhered to by Community Members.
 - b) In the absence of department/program criteria the following considerations shall be taken into account when determining authorship.
 - i. One author shall be identified as being responsible for the validity of the entire manuscript or authored object.
 - ii. All authors listed shall have been involved in the research. Each shall have made a significant intellectual and/or practical contribution, understand the significance of the conclusions, and be able to share responsibility for the content and reliability of the reported data. All Co-authors



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listed shall have seen and approved a manuscript before submission unless following reasonable efforts to make contact to obtain that approval no contact was able to be established.

- iii. Expectations related to authorship shall normally be clarified with collaborators and students, or Research Support Employees before the research is begun or before they become involved in it.
11. Failure to use archival material in accordance with the rules of the archival source.
12. Destruction of research records, that is, 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.
13. Redundant publications, that is, the publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgement of the source, or justification.
14. Providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or progress report.
15. Applying for and/or holding a research award when deemed ineligible by the Tri-Agency or any other research or research funding organization world-wide for reasons of breach of responsible conduct of research policies such as ethics, integrity or financial management policies.
16. Listing of co-applicants, collaborators or partners without their agreement.

ASSOCIATED PROCEDURES

Responsible Conduct of Research and Scholarship Procedures



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RELATED POLICIES

- Conflict of Interest Policy

RELEVANT DATES

Originally Issued: **June 22, 1998**

Revised: **December 15, 2017**

Effective: **March 18, 2018**

Scheduled Review: **March 2023**