

Laurentian University

Senate Policy on Responsible Conduct of Research

SCOPE:

The policy and the procedures contained in this document apply to all members of the Laurentian University Community engaged in any form of Research and scholarly activity.

DEFINITIONS:

1. 'the University' – refers to Laurentian University
2. 'granting agencies' – refers to any agency or organization that provides grants and/or contract for the funding of research, including, but not limited to, the three major federal funding agencies, NSERC (the Natural Sciences and Engineering Research Council of Canada), SSHRC (the Social Sciences and Humanities Research Council of Canada), and CIHR (Canadian Institutes of Health Research).
3. 'Research' – encompasses the creation of new knowledge and understanding through research, development, scholarly, and artistic work.
4. 'Laurentian University Community' – refers to all full-time and part-time faculty and staff, adjunct Professors, all full-time and part-time students (both undergraduate and graduate), all post-doctoral fellows and research associates, all non salaried visiting researchers/professors (including students from other institutions; hereafter called visiting researchers/professors in this document), staff and research scientists involved in organizations owned by the University (such as MIRARCO), staff involved in supporting research and all people hired on term positions and/or casual employment positions at Laurentian University.
5. 'Vice President Research' – refers to the Vice President Francophone Affairs, Research and Graduate Studies of Laurentian University.

PART 1

POLICY STATEMENT

I. Preamble

Academic integrity is an expectation fundamental to the mission of the University, whether it is in teaching or in research. It is important for the credibility of the University community that the scholarly activities of University members be held in the highest regards and be seen as rigorous and scrupulously honest. It is expected that scholarly work is conducted in an exemplary fashion, is ethically sound, and contributes to the creation of and refinement of knowledge. Whereas academic freedom is essential to the purpose of its scholarship and research, it presupposes the duty to use that freedom in a manner consistent with the scholarly obligation to base research on an honest search for knowledge. Indeed, since scholarly work is undertaken by individuals who are subjected to many pressures from sources within and without the academy, universities have to come to recognize the importance of having well defined policies to deal with misconduct in scholarly work. Granting agencies in Canada and elsewhere require that such policies be established.

II. Responsible Conduct of Research

All members of the Laurentian University Community shall pursue research and scholarship activities in a manner that is consistent with the highest standards of ethical and scientific practice. As a scholarly community Laurentian University has a responsibility to maintain the highest standards of scholarships, which include such components as:

- a. Adhering to all University ethics policies and meeting the recognized ethical standards defined in the Tri-Council Policy Statement 'Integrity in Research and Scholarship' (http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/tpsintegrity-picintegritie_eng.asp), including ethical guidelines for working with animal or human participants;
- b. Dealing ethically and fairly with colleagues and students, i.e., (i) rigorous attention to citing the contributions of others (this may involve joint authorships on publications), (ii) using unpublished or published work of others only with permission and with due acknowledgement, (iii) appropriately and fairly recognizing the contribution of others from within or beyond the University to the creation of intellectual property;
- c. Carrying out research in an honest search for knowledge, i.e., respecting the privileged access to information or ideas obtained from confidential manuscripts or applications and from duly executed non-disclosure and confidentiality agreements between the University and outside parties;
- d. Base findings upon a critical appraisal and interpretation according to scientific, scholarly and/or creative principles appropriate to the particular discipline or area i.e., (i) careful planning of research protocols, (ii) ensuring that methods of data collection and storage, and methods of analysis are appropriate, (iii) using scholarly and scientific rigor and integrity in obtaining, recording and analyzing data, and in reporting and publishing results;

- e. Ensuring the proper use of all research resources (funds, equipment and material, research participants);
- f. Retaining research records within their personal control for a minimum of five years from the date of publication or other form of presentation (if appropriate for the data format), or longer if mandated by a legal requirement or an applicable funding or oversight agency. An exception to this would be when for anonymity purposes the destruction of data has been approved by the Research Ethics Board at Laurentian University. Original data are normally stored in the laboratory or department of the principal investigator. In the case of collaborative research all those involved in the conduct of the research (including supervisors and students) will have access to the data. Such access may be restricted only when a request to do so is made in writing to and approved by the Vice-President Research.

III. Misconduct in Scholarly Research Activity

Definitions of scholarly or research misconduct may include, but are not limited to, one or more of the following:

- a. The intentional fabrication or falsification of data, erroneously reporting research procedures, or data analysis; the use of someone else's data or ideas and claiming it as one's own; plagiarism; or other deceitful acts or improprieties in proposing, conducting, reporting, or reviewing research (e.g., failure to obtain permission of the author before using information gained through access to manuscripts or grant applications during a peer-review process; attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for intellectual content; submission for publication of articles published elsewhere excepted where clearly indicated to be a republication);
- b. Failure to comply with pertinent federal, provincial, international, or University guidelines for the protection of researchers, human participants, the public, and the welfare of animals; or failure to meet other legal requirements that relate to the conduct of research;
- c. Failure to conduct research in the manner in which it has been approved by the University's Research Ethics Board;
- d. Failure to disclose a conflict of interest or the appearance of a conflict of interest prior to any commitment or expenditure of research funds;
- e. Failure to disclose to the University any financial interest in a company that contracts with Laurentian University to undertake research, particularly research involving the company's products, or to provide research-related materials or services. Financial interest means ownership, direct or indirect beneficial interest, substantial stock holdings, a directorship, honoraria or consulting fees, but does not include minor stock holding (less than \$10,000) in publicly traded corporations;
- f. Financial misconduct involving research funds including the misuse or misappropriation of funds acquired for the support of research; and,

- g. Failure to comply with terms of research funding agreements or university policy on Research and Scholarly Activities and the Administration of Research Funds.

Laurentian University does not tolerate misconduct in Research and Scholarly Activity. It will take appropriate measures to maintain an environment that promotes scholarly integrity. The definition of fraud and misconduct in scholarly work however, should not be interpreted as including differences of opinion regarding research methodologies, analyses of data, and theoretical frameworks. Misconduct in Research and Scholarly Activities is related to and involves the notion of a conscious or deliberate deception or action, and such misconduct has degrees of seriousness.

The office of the Vice-President, Francophone Affairs, Research and Graduate Studies will be responsible for the investigation of allegations of misconduct.

Acknowledgements

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