

Laurentian University
Senate Policy on Responsible Conduct of Research

SCOPE:

The policy contained in this document applies 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 who has responsibility for research.

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. 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 recognized 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

As a scholarly community Laurentian University **is committed to:**

- a. Carrying out research in an honest search for knowledge by 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;
- b. Dealing ethically and fairly with colleagues, students and others, for example by:
 - (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,
 - (iv) ensuring that all relevant results are shared without omission;
- c. Basing findings upon a critical appraisal and interpretation according to scientific, scholarly and/or creative principles appropriate to the particular discipline or area;
- d. Ensuring the proper use of all research resources (funds, equipment and material, research participants) by:
 - 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;
 - iv. 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 subject to a formal agreement;
 - v. Adhering to University ethics policies and meeting the recognized standards defined in the Tri-Council Policy Statement 'Integrity in

Research and Scholarship' (http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/tpsintegrity-picintegritie_eng.asp, as it may be amended from time to time), including ethical guidelines for working with animal or human participants.

III. Misconduct in Scholarly Research Activity

Laurentian recognizes the importance of having well defined policies to deal with misconduct in scholarly work. Furthermore, granting agencies in Canada and elsewhere require that such policies be established. As a result, Laurentian University will take appropriate measures to ensure proper conduct of research. The office of the Vice-President Research will be responsible ensuring that allegations of misconduct are investigated. Where misconduct in research and scholarly activities occurs and is related to and involves a conscious or deliberate deception or action that actions will be sanctioned according to the Laurentian University 'Procedures for Reporting and Investigating Research Misconduct'. The concern for fraud and misconduct in scholarly work, however, will not be allowed to suppress differences of opinion regarding research methodologies, analyses of data, and theoretical frameworks.

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

- a. The intentional fabrication, 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.

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