1.4 Definitions:

Please see Glossary in Appendix B.

2. <u>Responsibilities of Researchers</u>

2.1. Compliance With the Tri-Agency Research Integrity Policy

2.1.1. Promoting Research Integrity

2.3. Management of Agency Grant and Award Funds

Researchers are responsible for using grant or award funds in accordance with the policies of the Agencies, including the *Tri-Agency Financial Administration Guide* and Agency grants and awards guides; and shall provide true, complete and accurate information on documentation for expenditures from grant or award accounts.

2.4. Agency Requirements for Certain Types of Research

Researchers shall comply with all applicable Agency requirements and legislation for the conduct of research, including, but not limited to:

2nd edition of Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (TCPS 2); 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; and Canada's Food and Drugs Act The Occupational Health & Safety Act

2.5. Rectifying a Breach of Agency Policy

Researchers in breach of an Agency policy shall be proactive in rectifying a breach, for example, by correcting the research record, providing a letter of apology to those impacted by the breach, or repaying funds.

- e) 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.
- 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) Mismanagement of Conflict of Interest: Failure to appropriately manage any real, potential or perceived conflict of interest, in accordance with the Institution's policy on conflict of interest in research, preventing one or more of the objectives of the Tri Agency Framework: Responsible Conduct Of Research (Section 1.3) from being met.

3.1.2. Misrepresentation in an Agency Application or Related Document

- 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 Agency award when deemed ineligible by NSERC, SSHRC, CIHR 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.
- c) Listing of co-applicants, collaborators or partners without their agreement.

3.1.3. Mismanagement of Grants or Award Funds

Using grant or award funds for purposes inconsistent with the policies of the Agencies; misappropriating grants and award funds; contravening Agency financial policies, namely the Tri-Agency Financial Administration Guide, Agency grants and awards guides; or providing incomplete, inaccurate or false information on documentation for expenditures from grant or award accounts.

3.1.4. Breaches of Agency Policies or Requirements for Certain Types of Research

Failing to meet Agency policy requirements or, to comply with relevant policies, laws or regulations, for the conduct of certain types of research activities; failing to obtain appropriate approvals, permits or certifications before conducting these activities.

3.2. Roles of Individuals in Addressing Allegations of PolicTm1 or certificationea 0 1 9024 505.3 144.02 23 175

4. Responsibilities of Institutions

4.1. <u>Memorandum of Understanding on the Roles and Responsibilities in the Management of Federal Grants and Awards</u>

The Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management

with relevant legislation. To facilitate this, information that is brought forward will be kept confidential and the privacy of individuals will be protected while allowing due process to the extent possible.

d) The College may independently, or at the Agency's request in exceptional circumstances, take immediate action to protect the administration of Agency funds. Immediate actions could include freezing grant accounts, requiring a second authorized signature from a Colle

to the SRCR, within 7 months of the receipt of the initial allegation as per section 4.4.

c) The Vice-President, Academic and Research will determine whether a formal investigation is warranted within 4 weeks of the allegation and will appoint an ad-hoc, three-person Investigation Committee with the authority to decide on misconduct and whose decision is binding on the College. The committee members shall have the necessary expertise, be without conflict of interest, whether real or apparent, and one of the committee members shall be external with no current affiliation with the College. The following process will be followed for the investigation:

I.

Appendix

A. Summary of Process*

Investigation