POLICY 7.0 – Responsible Conduct of Research

Policy Category: Research

Subject: Responsible Conduct of Research

Approving Authority: Board of Governors

Responsible Officers: Vice-President (Research)

Responsible Offices: Office of the Vice-President (Research)

Related Procedures:

persedes: September 24, 2013; July 1, 2008; March 27, 1998;
        June 29, 1995

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PURPOSE

search, scholarship, and creative activity are components of an intellectually
orous university environment and are an integral part of the mission of Western
iversity (the "University").

e University is committed to providing an environment that supports and promotes
Responsible Conduct of Research and that fosters researchers' abilities to act
nestly, accountably, openly, and fairly in the search for, and dissemination of,
owledge. The University does this through the establishment of policy, procedure,
d promotion of education on, and awareness of the importance of, the

nes what constitutes a Breach.
nework: Responsible Conduct of
e Administration of Agency Grants
University and the Tri-Agencies
Natural Sciences and Engineering
and Humanities Research Council
h, and complementary to, existing

II.   DEFINITIONS

Administrator – a member of the University appointed by the Vice-President (Research) who organizes and supervises the resolution of an Allegation.

Agency – funding body, foundation, organization, sponsor, or other entity, public or private, international, national, provincial, or foreign, which supports the Research in whole or in part, financially or otherwise, or which has oversight of any Research.

Allegation – a declaration, statement, or assertion communicated in writing to the effect that there has been, or continues to be, a Breach of this Policy, the validity of which has not been established.

Breach – as defined in Section 3.

Complainant – an individual who has notified the University of an Allegation. A Complainant may be a member of the University community or may be external to the University community.

Disciplinary Policy – a collective agreement, employment agreement, personnel policy, Senate or Board policy or other regulation under which a Respondent may be disciplined for a Breach.

Initial Inquiry – the process of reviewing an Allegation to determine whether the Allegation is a
Responsible Allegation, the policy or policies that may have been breached, and whether an
Investigation is warranted based on the information provided in the Allegation and other supporting evidence.

Investigation – a systematic process of examining a Responsible Allegation, collecting, and examining the evidence related to the Responsible Allegation, and deciding whether a Breach has occurred.

Investigator/Investigation Committee – an individual or a group of individuals appointed to
investigate a Responsible Allegation.

Policy – refers to this Policy on the Responsible Conduct of Research.

Procedures – refers to the procedures associated with this Policy.

Research – an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation done in the context of academic activity on behalf of the University. Research involves some or all of the creation of new knowledge, including understanding of concepts; the creative application of existing knowledge;

the Allegation will be dealt with in accordance with this Policy, the relevant Scholastic Discipline Policy or the Code of Student Conduct. If the Allegation will be dealt with under this Policy, it shall be referred to the Vice-President (Research).

2. Expectations and Responsibilities

To support the Responsible Conduct of Research, the University will:
- establish and apply a Responsible Conduct of Research policy and related procedures that meet the requirements of the Tri-Agency Framework: Responsible Conduct of Research;
- report to the Secretariat on Responsible Conduct of Research (SRCR), when applicable;
- promote education on, and awareness of, the importance of the Responsible Conduct of Research.

The responsibilities of all members of the University community include not only fulfilling the integrity expectations of this Policy, but also reporting a suspected Breach of this Policy according to the Procedures.

The University expects all individuals engaged in academic work to conform to the highest standards of integrity in Research. Individuals are personally responsible for the intellectual and ethical integrity of their work and must ensure that in Research their conduct meets University standards and best practices, professional and disciplinary standards, applicable laws and regulations, and the integrity standards of any entities sponsoring any component of Research. Those undertaking academic work shall strive to follow the best Research, scholarship, and creative activity practices honestly, accountably, openly**,** and fairly in the search for, and in the dissemination of,

creation, in a manner consistent with their respective contributions, and relevant authorship policies or intellectual property rights.

e. Acknowledging, in addition to authors and creators, all contributors and

working environment.

n. Providing appropriate oversight of, and guidance on Responsible Conduct of Research, to trainees and staff, ensuring individuals engaged in Research under their supervision are aware of this Policy, other relevant policies and associated training and education provided by the University.

Integrity in Research also includes the following:

a. Recognizing the substantive contributions of collaborators and students; using unpublished work of other researchers, creators and scholars only with permission and with due acknowledgement; and using archival material in accordance with the rules of the archival source;

b. Obtaining the permission of the author or creator before using new information, concepts or data originally obtained through access to confidential manuscripts or Research funding applications;

c. Using scholarly and scientific rigor and integrity in obtaining, recording and analyzing data, and in reporting and publishing results, including correcting or providing notice of work which is misleading or inaccurate;

d. Using published work only in accordance with copyright law, and ensuring that authorship of published work includes all those who have materially contributed to, and share responsibility for, the contents of the publication or presentation, and only those people;

e. Revealing to sponsors, universities, journals or Agencies, any material conflict of interest, financial or other, that might influence their decision on whether the individual should be asked to review manuscript or applications, test or use products or be permitted to undertake work sponsored from outside sources;

f. Using appropriate referencing and citation of resources used in academic work;

g. Not misrepresenting academic credentials or affiliations within or outside of the academic community;

h. Making best efforts to correct material errors in publication.

3. Breaches

a. A Breach of this Policy encompasses the following non-exhaustive list of actions that deviates from the commonly accepted ethics/integrity standards or practices of the relevant Research community throughout the life cycle of a Research project (i.e., from the formulation of the Research question, through the design, conduct, collection of data, and analysis of the Research, to its reporting, publication, and dissemination, as well as the management of Research funds). Fabrication: Making up data, source material, methodologies or findings, including graphs and images;

b. Falsification: Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without appropriate

acknowledgement, such that the Research, scholarship, or creative activity