

## UNIVERSITY OF MANITOBA POLICY

<b>Policy:</b>	<b>Responsible Conduct of Research – Code of Research Ethics</b>
<b>Effective Date:</b>	May 21, 2013
<b>Revised Date:</b>	
<b>Review Date:</b>	May 21, 2023
<b>Approving Body:</b>	Board of Governors, on recommendation by Senate
<b>Authority:</b>	Responsible Conduct of Research Policy
<b>Responsible Executive Officer:</b>	President, delegated to Vice-President (Research & International)
<b>Contact:</b>	Vice-President (Research & International)
<b>Application:</b>	Students, Employees and Researchers

### Part I Reason for Policy

- 1.1 The University has adopted a Policy on the *Responsible Conduct of Research*. Part of that Policy requires that the University define its expectations for Researchers on the responsible conduct of Research.

### Part II Policy Content

#### Definitions

- 2.1 The following terms have the following defined meanings for the purpose of this Policy and its Procedures.
- (a) all terms defined in the Policy *Responsible Conduct of Research* have the same meaning in this Policy.
  - (b) **“Work”** means all original literary, dramatic, musical, and artistic works, performances, communication signals, and sound recordings, in any media, capable of protection under the *Copyright Act (Canada)*, as amended from time to time.

## Code of Research Ethics

2.2 All Researchers shall conduct their Research in accordance with this Code.

### Academic Rigour

2.3 Researchers shall use a high level of rigour in proposing and performing Research, and in particular must refrain from the following:

- (a) *Non-Compliance*: Failure to apply for all necessary approvals or conduct the Research in accordance with the University's policies (including research ethics approvals), the requirements of Funding Agencies, the rules of professional governing bodies, and all relevant laws;
- (b) *Falsification*: Failure to accurately record methodologies, data and findings, including manipulating, changing, or omitting material portions;
- (c) *Fabrication*: Making up or manufacturing methodologies, data or findings;
- (d) *Destruction of records*: Failure to keep complete and accurate records of methodologies, data and findings, including destroying them in a manner which does not comply with the University's policies regarding records management; and
- (e) *Redundant publication*: Re-publishing previously published data and findings, without acknowledgement of the previous publication.

### Attribution

2.4 Researchers shall acknowledge the efforts and contributions of others, and in particular must refrain from the following:

- (a) *Plagiarism*: Failure to accurately cite and reference all published and unpublished Works, data, methodologies, and ideas used in Research, including presenting such materials as one's own;
- (b) *Copyright Breach*: Failure to obtain permission for the use of all Works, in accordance with the applicable copyright law, and the University's policies, procedures, guidelines and rules related to copyright; and
- (c) *Invalid Authorship*: Failure to accurately attribute the authorship of reports, papers and publications, and in particular failure to:
  - i. include as authors, any persons who have materially or conceptually contributed to, and are willing to share responsibility for, the contents;

- ii. not include as an author any person making a material or conceptual contribution but unwilling to share responsibility for the contents;
- iii. exclude as an author any person who has not made a material or conceptual contribution to the publication; and
- iv. acknowledge authors in a manner consistent with their respective contributions, the generally accepted practices of the area of specialty, and the authorship policies of the relevant publication.

### **Conflict of Interest**

2.5 Researchers shall avoid or appropriately manage any conflict of interest, and in particular:

- (a) report any real, potential, or perceived conflict of interest, in accordance with the University's policy on *Conflict of Interest*;
- (b) refuse to engage in Research where there is no reasonable plan for the management of a conflict of interest; and
- (c) identify all contributors to Research, including writers, Funding Agencies, and sponsors.

### **Funding Agencies**

2.6 Researchers shall engage with integrity with Funding Agencies, and in particular must refrain from the following:

- (a) *Misrepresentation*: Failure to provide true, complete and accurate information to Funding Agencies, including failure to:
  - i. provide accurate proposals, applications, reports and information;
  - ii. only include persons as co-applicants, collaborators or partners who have agreed to be included in proposals as such; and
  - iii. accurately describe the qualifications of those persons participating in the Research, including on any Curriculum Vitae.
- (b) *Mismanagement of Funding*: Failure to expend money granted by Funding Agencies only for purposes approved by the Funding Agency; and
- (c) *Breach of Policy*: Failure to comply with all relevant policies of the Funding Agencies.

## **Supervision of Research**

- 2.7 A principal investigator or co-investigator (the “Supervisor”) assumes primary responsibility to take all reasonable steps to ensure that Research conducted under their direction complies with this Code.
- 2.8 The Supervisor must, in regard to any Research conducted under their direction:
- (a) meet regularly with those they supervise in regard to the Research;
  - (b) encourage the use of a high level of rigour in:
    - i. developing methodologies;
    - ii. recording data and findings;
    - iii. analyzing and interpreting data and findings; and
    - iv. fairly reporting and/or publishing data and findings.
  - (c) review the work of those they supervise to the fullest extent practical;
  - (d) exercise particular scrutiny over publications to which the Supervisor will be named an author; and
  - (e) generally establish systems and safeguards to give the Supervisor a high degree of comfort that the Research complies with this Code.
- 2.9 A Supervisor’s responsibility does not relieve each Researcher involved with a project from their personal obligation to comply with this Code.

## **Code Not Exhaustive**

- 2.10 This Code is not intended to be an exhaustive list of all ethical issues which may arise in regard to Research.
- 2.11 In addition to those matters referenced in this Code, Researchers are expected to follow the principles of responsible Research generally accepted in the academic community and/or by a relevant Funding Agency.
- 2.12 Researchers have an obligation to inform themselves as to the principles of responsible Research generally accepted in the academic community and/or by a relevant Funding Agency.
- 2.13 The University, through the office of the Vice-President (Research & International) has the obligation to make opportunities available for Researchers to learn about

the Policy, the Code, the principles of responsible Research generally accepted in the academic community, and the rules of major Funding Agencies.

### **Part III Accountability**

- 3.1 The Office of Legal Counsel is responsible for advising the President, delegated to Vice-President (Research & International), that a formal review of this Policy is required.
- 3.2 The President, delegated to the Vice-President (Research & International), is responsible for the communication, administration and interpretation of this Policy.
- 3.3 All Researchers are responsible for complying with this Policy.

### **Part IV Authority to Approve Procedures**

- 4.1 The Vice-President (Research & International) or the President may approve Procedures which are secondary to and comply with this Policy.

### **Part V Review**

- 5.1 Governing Document reviews shall be conducted every ten (10) years by the Responsible Executive Officer. The next review date for this Policy is May 21, 2023.
- 5.2 In the interim, this Policy may be revised or repealed if:
  - (a) the Approving Body deems necessary or desirable to do so; or
  - (b) the Policy is no longer legislatively or statutorily compliant; and/or
  - (c) the Policy is now in conflict with another Governing Document.

### **Part VI Effect on Previous Statements**

- 6.1 This Policy supersedes the following:
  - (a) all previous Board/Senate Governing Documents on the subject matter contained herein; and
  - (b) all previous Administration Governing Documents on the subject matter contained herein; and

- (c) all previous Faculty/School Council Governing Documents stemming from the Faculty/School Council Bylaw and academic and admission Regulations and any resolutions on the subject matter contained herein.

## **Part VII Cross References**

7.1 This Policy should be cross referenced to the following relevant Governing Documents, legislation and/or forms:

- (a) [Responsible Conduct of Research Policy](#); and
- (b) [Conflict of Interest Policy](#).