

UNIVERSITY OF MANITOBA POLICY

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| Policy: | Responsible Conduct of Research |
| Effective Date: | May 21, 2013 |
| Revised Date: | |
| Review Date: | May 21, 2023 |
| Approving Body: | Board of Governors |
| Authority: | <i>The University of Manitoba Act, Section 16(1) and The Tri-Agency Framework: Responsible Conduct of Research</i> |
| Responsible Executive Officer: | President, delegated to Vice-President (Research & International) |
| Contact: | Vice-President (Research & International) |
| Application: | Students, Employees and Researchers |

Part I Reason for Policy

- 1.1 The University of Manitoba (the “University”) wishes to ensure the highest standards of integrity in all Research (as defined below) associated with the institution.

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) “**Breach**” means conduct, behaviour, actions or omissions which are inconsistent with or violate the Code of Research Ethics. Innocent errors and oversights may constitute a Breach, but intention will be considered in regard to any penalty, discipline or other measures taken following an Investigation.

- (b) “**Code**” means the Code of Research Ethics applicable to Researchers, and adopted as a related Policy.
 - (c) “**Designated Officer**” means an employee of the University designated to be the single central point of contact for receipt of Disclosures, and managing Investigations.
 - (d) “**Disclosure**” means an allegation or complaint that the Code of Research Ethics has been or is likely to be Breached.
 - (e) “**Funding Agency**” means a government agency, foundation, private or corporate sponsor of Research at the University, including the Tri-Council agencies: Canadian Institutes of Health Research (CIHR), Natural Sciences and Engineering Research Council of Canada (NSERC), and Social Sciences and Humanities Research Council of Canada (SSHRC).
 - (f) “**Investigation**” means an investigation into an alleged Breach, in accordance with the Procedures adopted under this Policy.
 - (g) “**Research**” means research, scholarship and creative works, whether funded or not, which are associated with or undertaken under the auspices of the University, and in particular:
 - (i) an undertaking intended to create or extend knowledge through a disciplined inquiry or systematic investigation;
 - (ii) the systematic acquisition of knowledge through disciplined inquiry, or the dissemination of such knowledge through any means or medium; and
 - (iii) an undertaking intended to result in creative works and activities.
- “**Research**” is not intended to include the routine development of teaching materials or administrative duties.
- (h) “**Researcher**” means any individual associated with the University who engages in or supports Research, including faculty, staff, students, post-doctoral fellows, research associates, research assistants, laboratory assistants, visiting researchers, and anyone holding an academic appointment with the University (including nil-salary appointments and adjuncts).

2.2 The objectives of this Policy are:

- (a) to ensure that all Research associated with the University meets the highest standards of integrity;

- (b) to define for the University's Researchers the institution's expectations for the responsible conduct of Research;
- (c) to ensure Funding Agencies have confidence in Research at the University, and have accurate and reliable information for their funding decisions;
- (d) to ensure public and private funds allocated to Research are spent responsibly; and
- (e) to provide a fair and thorough investigation process into allegations that Research has not been conducted with integrity.

2.3 In furtherance of these objectives, the University will:

- (a) define expectations regarding the responsible conduct of Research through the adoption of a Code of Research Ethics;
- (b) through the office of the Vice-President (Research & International), educate Researchers regarding this Policy, the Code and the responsible conduct of Research generally;
- (c) adopt Procedures which encourage Disclosures to be made, provide for a fair and thorough Investigation, and protect individuals involved in such an Investigation; and
- (d) where required or desirable, report the results of Investigations to Funding Agencies.

2.4 Any person who is found to have caused or contributed to a Breach may be disciplined or dismissed, as may be appropriate in the circumstances.

2.5 Following a Breach, the University shall take all other action it deems reasonably necessary to remedy a Breach and restore integrity to Research at the University.

2.6 The University desires to protect integrity in Research by encouraging legitimate Disclosures and the participation of required members of the University community. As a result, all persons to which this policy applies, whether or not Researchers themselves:

- (a) must disclose any credible evidence of a Breach, about which they become aware; and
- (b) must provide reasonable cooperation in the Investigation of a Breach.

2.7 Where this Policy or its Procedures conflict with the provisions of a collective agreement, the collective agreement will prevail.

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 Board of Governors (where appropriate upon the recommendation of the Senate) may approve related Policies and Procedures which are secondary to and comply with this Policy, which will include, but not be limited to:
 - (a) a Code of Research Ethics.
- 4.2 The President may approve Procedures which are secondary to and comply with this Policy, which will include, but not be limited to:
 - (a) the appointment of a Designated Officer;
 - (b) receiving and reviewing Disclosures;
 - (c) conducting Investigations in accordance with the principles of procedural fairness and natural justice;
 - (d) respecting the confidentiality of information collected in relation to Disclosures and Investigations;
 - (e) protecting persons involved in Disclosures against reprisal;
 - (f) protecting Researchers in regard to unfounded allegations of a Breach;
 - (g) producing a Report at the conclusion of an Investigation;
 - (h) implementing discipline, if necessary;
 - (i) advising persons involved in an Investigation, Funding Agencies and others as to the results of an Investigation; and
 - (j) generally defining the responsibility, authority and accountability of members of the University community under the Policy.

Part V Review

- 5.1 Governing Document reviews shall be conducted every ten (10) years. The next scheduled review date for this Policy is May 21, 2023.
- 5.2 In the interim, this Policy may be revised or rescinded 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) University of Manitoba Policy on Academic Fraud;
 - (b) Guidelines on Responsibilities for Research Ethics;
 - (c) all previous Board/Senate Policies, Procedures, and resolutions on the subject matter contained herein; and
 - (d) all previous Administration Governing Documents, and directives 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) [Conflict of Interest Policy](#);
 - (b) [Student Discipline By-law](#); and
 - (c) [Collective Agreements \(various\)](#).