Policy Title:	Responsible Conduct of Research		
Category:	☐ Institutional - Board ☒ Institutional - Administrative	☐ Academic - Administrative ☐ Employment - Administrative	
Approved by:	☐ Board	☐ President	
Date approved:	April 29, 2021	**Effective date:**	April 29, 2021
Policy Sponsor:	Vice President, Academic	**Date last reviewed:**	April 29, 2021
Date of Mandatory Review (expiry date)	April 2024	**Date of last revision of Procedures**	April 29, 2021

1 POLICY

1. CMCC researchers are to follow high standards of conduct in their scholarly research pursuits, to foster this responsibility in others, and to ensure compliance with the standards by students involved in research. Students are to be aware of and abide by research standards of conduct.

2. CMCC researchers are to:
   a. be honest in proposing, seeking support for, conducting and reporting research; and
   b. respect the rights of others in the pursuit of research

3. Allegations of scholarly misconduct relating to research are to be reported to the Office of Research Administration. The President, with recommendation by the Vice President, Academic, is to appoint an Ad Hoc investigating board. CMCC will take all reasonable steps to ensure impartial and unbiased proceeding for research misconduct allegations to the maximum extent that it is practicable.

4. To the extent allowed by law, both before and during the research misconduct proceeding, CMCC is to maintain privately and confidentially:
   a. the identity of respondents and complainants and any identifying information, except to:
      i. those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding; and
      ii. the Secretariat on Responsible Conduct of Research (SRCR) – or for grants funded by the National Institutes of Health in the United States, the Department of Health and Human Services (HHS) Office of Research Integrity (ORI) – as it conducts its review of the research misconduct proceeding and any subsequent proceedings.
   b. any information obtained that might identify the subjects of the research, except to:
      i. those who need to know in order to carry out the research misconduct proceeding.

5. Where an investigation of alleged scholarly misconduct involves an ongoing, externally funded project, CMCC is to take whatever steps are necessary to:
   a. protect the scientific integrity of the project;
   b. protect human (including privacy of personal health information as governed by the *Personal Health Information Protection Act*) or animal subjects;
   c. provide reports to granting agencies;
   d. ensure that awarded funds are properly expended; and,

e. ensure the continuation of the project to the extent that such continuation is consistent with the overall objectives of the project and the need to ensure prompt, fair investigation and resolution of the allegations.

6. During a research misconduct proceeding, CMCC is to take appropriate and reasonable interim actions to protect public health, federal funds and equipment, and the integrity of CIHR's and the ORI supported research process. Examples of actions that may be necessary include, but are not limited to:
   a. delaying the publication of research results;
   b. providing for closer supervision of one or more researchers;
   c. requiring approvals for actions relating to the research that did not previously require approval;
   d. auditing pertinent records; or
   e. taking steps to contact other institutions that may be affected by an allegation of research misconduct.

7. In the instance of an allegation of misconduct, processes relevant to the appropriate funding source are to be followed. The processes are to be guided by applicable Ontario statutes and the provisos drawn up in the Memorandum of Understanding between CMCC and CIHR, and the guidance of the HHS, in the body of the ORI, as may apply.

8. When verified, a finding of scholarly misconduct is to lead to appropriate sanction. CMCC is to cooperate with and assist the SRCR (and the ORI as needed), to carry out any administrative actions that may be imposed as a result of a final finding of research misconduct.

9. CMCC is to cooperate fully and on a continuing basis with the SRCR and/or the ORI during its oversight reviews of the institution and its research misconduct proceedings, and during the process under which the respondent may contest SRCR/ORI findings of research misconduct and proposed administrative actions.

2 PURPOSE

To demonstrate and enforce how CMCC holds each of its researchers to a commitment to integrity and scientific rigour in the conduct of research, including when seeking funding, conducting research and reporting the results.

3 SCOPE

All members of the CMCC community - including researchers, employees, students and support staff - associated with a research project, whereby the research:

a. is sponsored by CMCC;
b. is conducted by or under the direction of any employee or agent (faculty or staff) of CMCC in connection with institutional responsibilities either on campus or off-campus or in collaboration with other institutions;
c. is conducted by or under the direction of any employee or agent of CMCC using any property or facility of CMCC; or
d. involves the use of CMCC's non-public information to identify or contact human research subjects or prospective subjects.

4 INFORMATION AND COMPLIANCE PLANS (not a comprehensive list)

CMCC incorporates by reference the Tri-Agency Framework: Responsible Conduct of Research and the ORI.

Section 1.5.b) refers to the protection of human subjects, and specifically the privacy of personal health information consistent with the Personal Health Information Protection Act, 2004 (PHIPA).

The official responsible for communicating allegations of, and assisting in all investigations of misconduct in the domain of research, is to be the Research Administrator (RA) from the Office of Research Administration at CMCC. The RA will report to the Vice President, Academic (VPA) and the President on matters relating to this breach in policy.

5 RELATED POLICIES (not a comprehensive list)

- Research Policy Manual
- Tri-Agency Framework: Responsible Conduct of Research (2016)

6 DEFINITIONS

Members of the CMCC Community in this policy include researchers (including adjunct faculty), employees, students and support staff associated with a research project.

Research is the processes undertaken with conscious effort to develop or acquire generalizable new knowledge. As defined in U.S. federal policy [45CFR46.102(l)], research means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.

Scholarly Misconduct includes, but is not limited to conscious acts of improper research practices. Improper research practices do not include differences of opinion or honest differences in the interpretation of research results. Scholarly Misconduct includes practices such as:

a. misrepresentation, fabrication or falsification of data;
b. plagiarism, including plagiarism of one's own work;
c. misrepresentation of the methods used in research;
d. unacknowledged, selective reporting or omission of conflicting information or data to support a particular thesis or hypothesis;
e. abuse of confidentiality with regard to the information and ideas taken from manuscripts, grant applications or discussion held in confidence;
f. failure to comply with guidelines for review of or conducting of research involving human or animal subjects as described in the CMCC Research Policy Manual or the policies of funding agencies;
g. abuse of confidentiality related to the data obtained during the course of a study;
h. obstruction of the academic activities of others, including interference or tampering with experimental data, substances or subjects;
i. knowingly aiding and abetting scholarly misconduct; or
j. failure to reveal any material conflict of interest which might arise in the conduct of research.

New Policy Approved (date):
Updated and separated from Research Policy Manual – April 29, 2021

Policy Revision History (dates):

----------**END OF POLICY**----------

7 PROCEDURES

1. Allegations of scholarly misconduct relating to research are to be reported to the Office of Research Administration. The Research Administrator (RA) will then inform the Vice President, Academic (VPA) and the President. The response of CMCC in investigating these allegations is to have the following three properties:
   a. before any determination is made, the person against whom the allegations have been made is to have full disclosure of the allegations and evidence and an opportunity to respond fully;
   b. the process of disclosure and due process is to occur in a timely manner; and
   c. the proceedings are to remain strictly confidential to the extent possible to protect the identity of the person(s) making the allegations and the person(s) against whom the allegations are made from persons not party to or witnessing the proceedings.

2. Where an investigation of alleged scholarly misconduct involves an ongoing, externally funded project, CMCC is to take whatever steps are necessary to:
   a. protect the scientific integrity of the project;
   b. protect human or animal subjects;
   c. provide reports to granting agencies;
   d. ensure that awarded funds are properly expended; and,
   e. ensure the continuation of the project to the extent that such continuation is consistent with the overall objectives of the project and the need to ensure prompt, fair investigation and resolution of the allegations.

3. To the extent allowed by law, CMCC is to maintain the identity of respondents and complainants securely and confidentially and is not to disclose any identifying information, except to:
   a. those who need to know in order to carry out a thorough, competent, objective and fair research misconduct proceeding; and
   b. ORI as it conducts its review of the research misconduct proceeding and any subsequent proceedings.

4. To the extent allowed by law, any information obtained during the research misconduct proceeding that might identify the subjects of research is to be maintained securely and confidentially and is not to be disclosed, except to those who need to know in order to carry out the research misconduct proceeding.

5. At any time during a research misconduct proceeding, CMCC is to take appropriate and reasonable interim actions to protect public health, federal funds and equipment, and the integrity of CIHR's and the ORI supported research process. The necessary actions will vary according to the circumstances of each case, but examples of actions that may be necessary include, but are not limited to:
   f. delaying the publication of research results;
   g. providing for closer supervision of one or more researchers;
   h. requiring approvals for actions relating to the research that did not previously require approval;
   i. auditing pertinent records; or

j. taking steps to contact other institutions that may be affected by an allegation of research misconduct.

6. CMCC is to take all reasonable steps to ensure an impartial and unbiased research misconduct proceeding to the maximum extent practicable. The President of CMCC, with recommendation by the VPA, is to appoint an Ad Hoc investigating board of three to seven persons. Those conducting the inquiry or investigation are to be selected on the basis of scientific expertise that is pertinent to the matter and, prior to selection, the institution shall screen them for any unresolved personal, professional, or financial conflicts of interest with the respondent, complainant, potential witnesses, or others involved in the matter. Any such conflict which a reasonable person would consider to demonstrate potential bias is to disqualify the individual from selection.

7. When verified, a finding of scholarly misconduct is to lead to appropriate sanction. In the instance of an allegation of misconduct, processes relevant to the appropriate funding source are to be followed. The processes are to be guided by applicable Ontario statutes and the provisos drawn up in the Memorandum of Understanding between CMCC and CIHR, and the guidance of the United States' Department of Health and Human Services (HHS), in the body of the ORI, as may apply.

8. CMCC is to cooperate with and assist CIHR and the ORI as needed, to carry out any administrative actions that CIHR or HHS may impose as a result of a final finding of research misconduct.

9. CMCC is to cooperate fully and on a continuing basis with ORI during its oversight reviews of this institution and its research misconduct proceedings, and during the process under which the respondent may contest ORI findings of research misconduct and proposed HHS administrative actions. This includes providing - as necessary to develop a complete record of relevant evidence - all witnesses, research records, and other evidence under CMCC's control or custody, or in the possession of, or accessible to, all persons that are subject to CMCC's authority. CMCC is to report to ORI any proposed settlements, admissions of research misconduct, or institutional findings of misconduct that arise at any stage of a misconduct proceeding, including the allegation and inquiry stage.

New Procedure Approved (date):
Updated and separated from Research Policy Manual – April 29, 2021

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8 ATTACHMENTS

N/A