



# RESEARCH POLICY

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## PURPOSE

This policy promotes integrity in Research conducted or commissioned by the College and provides a process for addressing allegations of Research Misconduct.

## RATIONALE

Research integrity requires the College to follow the highest standards of ethical Conduct in every aspect of Research including proposals, the Research itself, reports and publication.

## APPLICATION AND SCOPE

This policy applies to all individuals conducting Research and scholarly work on behalf of the College and whose Conduct and obligations are subject to the College's Academic Integrity Policy and the *Code of Professional Conduct for College of Immigration and Citizenship Consultants Licensees*.

## DEFINITIONS

In this policy, capitalized terms, unless otherwise defined herein, have the same meaning as they do in the By-law and/or Regulations.

**Academic Integrity** – the College supports the International Centre for Academic Integrity's definition of Academic Integrity as acting in all academic matters with honesty, trust, fairness, respect, responsibility, and courage. [*intégrité académique*]

**Agencies** – means Canada’s three federal granting Agencies: the Canadian Institutes of Health Research (CIHR); the Natural Sciences and Engineering Research Council of Canada (NSERC); and the Social Sciences and Humanities Research Council of Canada (SSHRC). [*organismes*]

**Author** – means the writer, or contributing writer, of a Research publication or document. [*auteur*]

**Breach** – means non-compliance with the terms of a policy. [*violation*]

**Conduct** – refers to the manner in which an individual behaves, especially in a particular context such as a Research environment. [*conduite*]

**Conflict of Interest** – may arise when activities or situations place an individual in a real, potential or perceived conflict between their duties or responsibilities related to Research, and their personal, institutional or other interests. [*conflit d'intérêts*]

**Informed Consent** – means that the persons participating in a Research project must participate freely (voluntarily) and must be adequately informed about the Research and what it means for them to take part, and must provide their consent before they enter the Research. [*consentement éclairé*]

**Research** – refers to an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation. [*recherche*]

**Researcher** – refers to an individual involved in an undertaking to extend knowledge through a disciplined inquiry or systematic investigation. [*chercheur*]

**Research Misconduct** – means the failure to comply with this policy throughout the cycle of the Research project. [*inconduite en recherche*]

**Tri-Agency Framework: Responsible Conduct of Research (RCR)** – refers to the framework that describes policies and requirements related to applying for and managing Agency funds, performing Research, and disseminating results, and the processes that institutions and Agencies follow in the event of an allegation of a Breach of an Agency policy. [*Cadre de référence des trois organismes sur la conduite responsable de la recherche*]

**Tri-Agency Research Integrity Policy** – refers to the joint policy of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Social Sciences and Humanities Research Council of Canada (SSHRC). [*Politique des trois organismes sur l'intégrité dans la recherche*]

## 1. POLICY REQUIREMENTS

1.1 Responsibilities of Researchers include, but are not limited to:

- (a) **Rigour:** demonstrating scholarly and scientific rigour in proposing and performing Research; in recording, analyzing, and interpreting data and in reporting and publishing data and findings;
- (b) **Record keeping:** keeping complete and accurate records of data, methodologies and findings, in accordance with professional standards that will allow verification or replication of the work by others;
- (c) **Accurate referencing:** referencing and where applicable, obtaining permission for the use of all published and unpublished work, including but not limited to, theories, data, concepts, source material, methodologies, graphs and images;
- (d) **Authorship:** including as Authors, with their explicit consent, all those who have materially and/or conceptually contributed to, and who accept responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions and the authorship policies of relevant publications;
- (e) **Acknowledgement:** in addition to Authors, acknowledging appropriately all those who have contributed to Research;
- (f) **Conflict of Interest management:** Identifying and addressing any real, or potential or perceived Conflict of Interest.

## 2. PROCEDURES

2.1 Informed Consent is a central component of the ethical Conduct of Research with human subjects. The information provided must be written in language that is easily understood for participants and must be provided in sufficient time for consideration by the participant.

2.2 An ethically Informed Consent document must be provided to potential Research participants stating the key elements of the Research study including the following:

- (a) A statement that the project is Research and participation is voluntary;
- (b) A summary of the Research, including:
  - (i) Nature and Purpose of the Research
  - (ii) Expected duration of participation

- (iii) Procedures
  - (c) Reasonable, foreseeable risks;
  - (d) Reasonable, expected benefits; and
  - (e) Confidentiality of participation
- 2.3 External Research funding: Researchers holding external funding must provide the College with complete and accurate information as found in their funding applications and related documents and represent themselves, their Research and their work in a manner consistent with Research standards. This includes certifying they have no findings for a Breach of responsible Conduct of Research policies such as ethics, integrity or financial management policies that would make them ineligible to apply for and/or hold funds from Tri-Agency funding sources mentioned herein or any other Research or Research funding Organization worldwide.
- 2.4 All internal and external Researchers must adhere to the Tri-Agency Research Integrity Policy.

### 3. BREACH OF POLICY

- 3.1 Research Misconduct includes but is not limited to:
  - (a) **Falsification of credentials:** misrepresenting qualifications, awards and/or achievements, misrepresenting the status of a publication or reporting non-existent work;
  - (b) **Fabrication:** making up data, source material, methodologies, or findings;
  - (c) **Falsification:** manipulating, changing, or omitting data, source materials, methodologies, without accurate disclosure, which could result in inaccurate findings or conclusions;
  - (d) **Suppression:** failing to take timely and proactive steps to publish corrections to or retractions from a Researcher's previous results when a significant error or deficit is identified after publication;
  - (e) **Destruction of Research data or records:** the destruction of the Researcher's own, or another Researcher's data or records to specifically avoid the detection of wrongdoing, or in contravention of policy and/or laws, Regulations or professional standards.
  - (f) **Plagiarism:** using another individual's work and presenting it as the Researcher's own, without properly citing the source. All material, including information from the internet, anonymous material, copyright material,

published and unpublished material and material used with permission, must be properly acknowledged (College's Academic Integrity Policy).

- (g) **Self-plagiarism and redundant publication:** republishing a Researcher's own previously published work or part thereof, including data, without acknowledgement of the original publication, and/or justification;
- (h) **Invalid authorship:** inaccurately attributing authorship to persons who have not contributed sufficiently to take responsibility for the intellectual content;
- (i) **Inadequate acknowledgement:** failing to appropriately recognize the contributions of others;
- (j) **Mismanagement of Conflict of Interest:** failing to identify and manage a real, potential or perceived Conflict of Interest;
- (k) **Abuse of confidentiality:** failing to respect the confidentiality of information, ideas and discussions;
- (l) **Abuse of authority:** intimidating or exploiting subordinates in a Research context that encourages, influences or coerces the subordinate to commit or be complicit in an instance of Research Misconduct.

3.2 Rectifying a Breach of Policy - Researchers who may have violated this policy are expected to be proactive in rectifying the situation as soon as it is identified.

3.3 Breach of Policy remedies - Previous findings of Research Misconduct will be considered when remedies and sanctions are determined. Remedies may include, but are not limited to:

- (a) issuing a letter of concern to the Researcher from the College;
- (b) ordering the Researcher to correct the Research record;
- (c) ordering the Researcher to withdraw all pending relevant publications;
- (d) ordering the Researcher to notify publishers of publications in which the relevant Research was reported;
- (e) ordering the Researcher to notify co-investigators and collaborators of the finding; and
- (f) taking any other action the College deems appropriate.

3.4 Breach of Policy Sanctions - Sanctions may include but are not limited to:

- (a) withdrawing specific Research privileges from the Researcher or monitoring such privileges for a specified period;
- (b) referring the matter to the Director of Professional Standards, Research, Education and Policy to determine the appropriate sanction; and
- (c) reporting the matter to the external funding Agency.

**4. APPROVAL PROCESS**

4.1 No Research documents, findings, data, or information may be published, reported or disseminated in any way without the written approval of the Director of Professional Standards, Research, Education and Policy.

**5. RESOURCES**

- Tri-Agency Framework: Responsible Conduct of Research
- Tri-Agency Research Integrity Policy

**APPROVAL AND REVIEW**

	<b>Details</b> <i>If relevant, add notes to alert readers about the modifications to the document (e.g., updated wording from Council to College)</i>	<b>Approval Authority</b>	<b>Date</b>
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