

Responsible Conduct of Research Policy

Purpose

SE Health supports the responsible conduct of research as defined in the Tri-Agency Framework: Responsible Conduct of Research (2021). The Tri-Agency Framework describes requirements and expectations for researchers and institutions that receive funding from the Tri-Agencies (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)).

This policy describes SE Health's commitments to comply with the range of requirements, and meet the expectations laid out in the Tri-Agency Framework.

Scope

The policy applies to all research conducted under SE Health auspices or jurisdiction, and the researchers conducting the research.

Policy Part A

SE Health requires that researchers conducting research funded by CIHR, NSERC or SSHRC responsibly as described in the following provisions of the Tri-Agency Framework: Responsible Conduct of Research (2021):

1. **Promote Research Integrity** as described in article 2.1.2 of the Tri-Council Framework
2. Abide by the requirements of section 2.2 when **Applying for and Holding Agency Funding**
3. **Manage Agency Grant and Award Funds** in the manner described in section 2.3, including as described in the *Tri-Agency Guide on Financial Administration* and Agency grants and awards guides
4. **Comply with all applicable Agency requirements and legislation** for the conduct of research as described in section 2.4 including, but not limited to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans – TCPS 2 (2018)*
5. **Rectify any Breaches of Agency Policy** as required in section 2.5, regarding the breaches described in section 3 of the Framework, including
 - **Breaches of the Framework itself** (article 3.1)
 - **Breaches of Tri-Agency Research Integrity Policy** (article 3.1.1)
 - **Misrepresentations in an Agency Application or Related Document** (article 3.1.2)
 - **Mismanagement of Grants or Award Funds, including failure to apply the Tri-agency Guide on Financial Administration** (article 3.1.3)
 - **Breach of Agency Policies or Requirements for Certain Types of Research**, including failure to comply with relevant policies, laws or regulations and failing to obtain appropriate approvals, permits or certifications (article 3.1.4)

- **Breach of Agency Review Processes**, including failure to comply with the *Conflict of Interest and Confidentiality Policy of the Federal Research Funding Organizations* (article 3.1.5)
 - Fulfill the requirements for **Individuals in Addressing Allegations of Policy Breaches** (section 3.2)
6. **Participate in Agency Review Processes** as required by section 2.6
 7. **Provide appropriate supervision and training in the conduct of research** as required by section 2.7 of the Tri-Council Framework

Policy Part B

It is the policy of SE Health to comply with, and support researchers to comply with, all Agency policies and requirements related to applying for and managing Agency funds, performing research, and disseminating results, including the specific terms and conditions of individual funding agreements. Specifically, SE Health does the following to comply and support:

1. Adheres to all the requirements and expectations in the Agreement on the Administration of Agency Grants and Awards by Research Institutions, which sets out the minimum roles, responsibilities and requirements that Institutions must meet as a condition of eligibility to apply for, and hold, Agency funding.
2. Promotes the responsible conduct of research by providing an environment that supports the best research and that fosters researchers' abilities to act honestly, accountably, openly and fairly in the search for, and dissemination of, knowledge, including by these means:
 - a. establishing and applying responsible research conduct policy(ies) and procedures that meet the requirements of section 4.3 of the Tri-Agency Framework;
 - b. reporting to the Secretariat on Responsible Conduct of Research as per section 4.4;
 - c. promoting education on, and awareness of, the importance of the responsible conduct of research (section 4.5).

Policy Part C

SE Health will promote awareness of what constitutes the responsible conduct of research, including Agency requirements as set out in the Institution's policies, the consequences of failing to meet them, as well as the process for addressing allegations, to all those engaged in research activities at SE Health.

SE Health will communicate its policy on the responsible conduct of research within SE Health, and posting annually on its Web site information on confirmed findings of breaches of its policy (e.g., the number and general nature of the breaches), subject to applicable laws, including the privacy laws.

SE Health will report annually to the SRCR on the total number of allegations received involving Agency funds, the number of confirmed breaches and the nature of those breaches, subject to applicable laws, including privacy laws.

SE Health will communicate internally the identity of the central points of contact who are responsible for receiving confidential enquiries, allegations and information related to allegations of breaches of Agency policies.

Responsible:

The Vice President, Research and Innovation, and the SVP Chief Legal, Privacy and Compliance Officer are responsible for administering this policy.

This policy applies to researchers and research conducted under SE Health auspices or jurisdiction and funded by one or more the Agencies.

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