APPENDIX A - DEFINITIONS - RESPONSIBLE CONDUCT OF RESEARCH

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Policy Authority: Vice-President, Research and International

Parent Policy: Responsible Conduct of Research (R60.01)

1.0 PURPOSE

1.1 The definitions in this Appendix define the words used in the Responsible Conduct of Research policy (R60.01) (the “Policy”) and in the Procedures to Address Allegations (“the Procedures”).

2.0 DEFINITIONS

2.1 Allegation means a declaration, statement, or assertion communicated in writing that there has been, or continues to be, a Breach of the Responsible Conduct of Research Policy, the validity of which has not been established.

2.2 Breach means any conduct, behaviour, actions, or omissions that are inconsistent with or violate the Policy. A Breach includes innocent errors and oversights. The Respondent’s intention is a factor that is considered before imposing sanctions or taking other measures following an Investigation.

2.3 Complainant means a person who makes an Allegation. The University reserves the right to assume the role of Complainant.

2.4 Conflict of Interest means a situation in which the private interests of a Member or related party compromise, or have the appearance of compromising, the Member’s independence and objective judgment in actions or decisions taken by the Member on behalf of the University, including in the performance of their teaching, research, service, or other obligations to the University. In the research context, this includes influencing an investigator’s professional judgment in conducting or disseminating research. A conflict of interest can be real, potential, or perceived.

2.5 Funding Organization means a government agency, a foundation, or a private or corporate sponsor of Research at the University. This includes Canada’s three federal granting agencies (also referred to as the “Tri-Agency”).
2.6 **Inquiry** means the process of reviewing an Allegation to determine whether it has a sufficient factual basis, whether the facts would, if established on a balance of probabilities, constitute a Breach of the Policy, and whether an Investigation is warranted.

2.7 **Investigation** means a systematic process conducted by the designated Investigation Committee to consider an Allegation, to collect and examine evidence related to the Allegation, and to determine whether, on a balance of probabilities, a Breach of a policy has occurred.

2.8 **Investigation Committee (“Committee”)** is a group appointed by the Vice-President, Research and International (“VPRI”), or the VPRI’s delegate, authorized to conduct an Investigation to determine whether a Breach has occurred.

2.9 **Member** means any person who teaches, conducts Research, or works at or under the auspices of the University, including, but not limited to, any person acting their capacity as part- or full-time faculty, staff or student, post-doctoral fellows, and any other persons while they are acting on behalf of or at the request of the University.

2.10 **Procedural Fairness** means the process of decision making based on the following principles: the presumption of innocence, the right of the Respondent to be heard, the right of the Respondent to know the case against them, decisions issued with reasons, and the application of Conflict of Interest processes (including independence and lack of bias) to the decision-makers.

2.11 **Representative** means a person chosen by the Respondent, or by the Complainant, to accompany them to meetings or other processes under the Procedures, which may be a member or staff employee of an employee group to which they belong.

2.12 **Research** means an undertaking intended to extend knowledge through a disciplined inquiry and/or systematic investigation. For the purposes of the Responsible Conduct of Research Policy and its associated procedures, Research includes applying for and managing research funds, performing research, and disseminating results, but does not normally include research carried out by students that is not intended for publication.

2.13 **Research Integrity Officer (“RIO”)** is an academic staff member designated by the Vice-President Research and International, responsible for implementing the Procedures to Address Allegations.

2.14 **Research Misconduct** means conduct that breaches the standards and practice generally accepted within the relevant research/scholarly field and may include but is not limited to: fabrication or falsification, destruction of research records, plagiarism, self-plagiarism, invalid authorship, inadequate acknowledgement, mismanagement of conflict of interest, misrepresentation, mismanagement of research funds, failure to comply with the requirements of funding applications, agreements and related policies, and failure to obtain the necessary approvals before commencing work with human participants. Research Misconduct does not include situations of conflicting, though valid, data, valid differences in experimental design, or differences in interpretation or evaluation of information. See Appendix B to the Policy for examples of Research Misconduct.

2.15 **Respondent** means a Member or Members against whom an Allegation is directed, or who may be implicated in an Allegation (for example, co-authors or co-investigators or other members of a research team), or who become the subject of an Investigation. Respondent also includes a past Member against whom an Allegation is directed with respect to Research activities conducted
2.16 **Responsible Conduct of Research** means the behavior expected of anyone who conducts or supports research activities throughout the life cycle of a research project (i.e., from the formulation of the research question, through the design, conduct, collection of data, and analysis of the research, to its reporting, publication and dissemination, as well as the management of research funds). It involves the awareness and application of established professional norms, as well as values and ethical principles that are essential in the performance of all activities related to research. These values include honesty, fairness, trust, accountability, and openness.

2.17 **Retaliation** means an adverse action or threatened action, direct or indirect, taken or made through any means, against a person who invoked the Policy or its procedures in good faith, or against a person who participated or cooperated in good faith in a University process addressing an Allegation. Retaliation is prohibited conduct.

2.18 **Secretariat on the Responsible Conduct of Research (“SRCR”)** means the body, external to the University, that provides substantive and administrative support for the Panel on Research Ethics (“PRE”), the Panel on Responsible Conduct of Research (“PRCR”), and for the Tri-Agency with respect to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans*, 2nd edition, and the *Tri-Agency Framework: Responsible Conduct of Research*.

2.19 **University** means Simon Fraser University, also referred to as SFU.