

Tri-Agency Framework

Responsible Conduct of Research

Canadian Institutes of Health Research
Natural Sciences and Engineering Research Council of Canada
Social Sciences and Humanities Research Council of Canada





Government
of Canada

Secretariat on Responsible
Conduct of Research

Gouvernement
du Canada

Secrétariat sur la conduite
responsable de la recherche

Tri -Agency Framework:

1 TRI-AGENCY FRAMEWORK: RESPONSIBLE CONDUCT OF RESEARCH

1.1 Introduction

7KH VHDUFK IRU NQRZOHGJH DERXW RXUVHOYHV DQG WKH
HQQHDYRXULVH DQDWDWFKU DO H[WHQVLRQ RI WKLV GHVLUH W
LQ ZKLFK ZH OLYH DQG LWV UHVXOWV KDYH ERWK HQULFKI
ZKROH

,Q RUGHU WR PD[LPL]H WKH TXDOLW\ DQDEHFC HHLQV LURIQE
UHTX\RUHQVHDUFKHUV

WKH 3DQHO RQ & 50HGRS0MLHEDUHFKK3Q&5GGUHVVLCEJUBDDKHJ0W
RI \$JHS0F0LFLHV

\$ GDJUDP VXPPDUL]LQJ WKH SURFHVV XVHG WR DGGUHV
JORVVDU\ RI WHUPV LV SURYLGHG LQ \$SSHQL[%

1.2 Scope

7KL 5 & 5)UDPHZGRUWF \$LE07\ SRDQGF LHM TXUH0D0S0WLRQJ IRU D
PDQDJLQJ IXQH0\ SHUIRUPLQJ UHVHDUFKD0G0V0GH VSUHPFL0DV
, QVWLWXWLRQV DQG \$KHHQF0H00V0R0RZL RQ0R00F00H0F0K RI
SURYLVLRQ05)RIDWKZRUN DUH VXEMHFW WR R0KH RV SL0F0LL0E0G
IXQG0D0UHHPHQV \$UDQ0H0KH RQ WKH \$GPLQLVWUDWLRQ RI S
5HVHDUFK, QW0H0M0K0V0H0Z0H0H0Q WKH \$J0Q0M0L0H0W0X0D0G0H0DFK ,

7KH0QVWLWXWLRQ VKDOO GHYHORS DQG DGPLQLVWHU D SRO
UHVHDUFKHUV WKDW PHHW WKH 5 & 5)UDPHZGRUWF0L0V0K0M0X0WLR0R
DSS00000L0F0\ WR DOO UHV0H0D0V0IS IFR0Q0G0R00W0X0G0X0G0L0F0WLRQ , 0
ZKR DSSO\ IRU RU KROG DJHQF\ IXQGLQJ DUH UHTXLHG
)UDPHZRUN

1.3 Objectives

7KH REMHFW05 & 5)UDPHZGRUWF DUH WR

- ensure that the funding decisions made by Agencies are based on accurate and reliable information;
- ensure public funds for research are used responsibly in accordance with funding agreements
- promote and protect the quality, accuracy, and reliability of research funded by the Agencies; and
- promote fairness in the conduct of research and in the process for addressing allegations of policy breaches.

2 RESPONSIBILITIES OF RESEARCHERS³

2.1 Tri-Agency Research Integrity Policy

7KH 70 \$J0H00H0VHDUFK , QW0H0M0K0V0H0Z0H0H0Q WKH & DQDGLDQ , QV
+HDOWK 5HVHDUFK & , +5 WKH 1DWXUDO 6FLRQ0R00W0D0G0G0

³ The responsibilities in this section have drawn from the following sources: CCA) (2010) [Trust, Accountability and Trust: Fostering Research Integrity in Canada](#) Ottawa: Council of Canadian Academies; and [Singapore Statement on Research Integrity](#) 2nd World Conference on Research Integrity, 21 July 2010

16(5& DQG WKH 6RFLDQ LWF LHO FSHW HDUJH D XBRD Q VW OH
\$JHQFLZKVRORLSXMSRVH LV WR

- f. &RQIOLFW RI LQWHSLSVVRSPDQDQWVHQQJ DQGUBGGUHV
 SRWHQWSDIOFRQYHGF W⁵ RLQDVFHRLVWVWLWXWLRQTV SF
 FRQIOLFW RI LQWELVHWHUQVXHMMDKJFW 5&5)HURIMZHFUNLYH
 \$UWLFODUH PHW

2.2 Applying for and Holding Agency Funding

- a. \$SSOLFDDQGWKROSGHIOVURIQWV DQGDZDUGVXH FRPSOHWH
 DFFXUDWH LQIRUPDWLRQ LQ WKHLU IXQGLQJ DSSOLFDD
 WKHPVHOYHV WKHLU UHVHDFK DQG WKHLU DFFRPSOLY
 RI WKH UHOHYDQW ILHOG
- b. \$SSOLFDDQGWKROSGHIOVURIQWV DQGDZDUGVXH FRPSOHWH
 KROXQGV&J+P6(5& 66+5& RU DQ\ PVOGRUJJDQVZHWVQ
 ZLGRU UHDFRQV URHVSURQVLEORH FRQGXFW RIHWKLFDFUFH
 LQWHRJWUWQDQFLDO PDQDJPHQW SROLFLHV
- c. 3ULQFLSDO IXQGLQJ DSSOLFDDQWV PXVW HQVXUH WKDW
 EH LQFOXGHG

2.3 Management of Agency Grant and Award Funds

5HVHDFKHUV DUNVUQVSRDQVORHIBZDUG IXQGV LQ DFFRUC
 \$JHQFLQVFOXGLQJHGH *XLGH RQ)LQDQVDFH QEPVDDQWUDW
 DZDUGV JXLGHV DQGRRPSOHVYLGQJ DFFXUDWH LQIRUPD
 IRU[SHQGLWXUHV IURP JUDQW RU DZDUG DFFRXQWV

2.4 Agency Requirements for Certain Types of Research

5HVHDFKHUVFRPDDO DSSOLFDEOH \$DQGFOLHURVLDVWHPRQV G X
 RI UHVHDFK LQFOXGL BWà

f &DQDGLDQ 1XFOHDU 6DIHW\ &RPPLVLRQ &16& 5HJ
f &DQDGLDQ DQG 'UXJV \$FW

2.5 Rectifying a Breach of Agency Policy

5HVHDUFKHUV LQ EUHDFK RI DQ \$JHQF\ SROLF\ DUH H[SHFWHG
H[DPSOH E\ FRUUHFWLQJ WKH UHVHDUFK UHFRUG SURYLGHG
EUHDFK RU UHSD\LQJ IXQGV

2.6 Participation in Agency Review Processes

- a. 3DUWLFLSDQWV LQ DJHQF\ UHYLHZ &SROLF\ WHR\ P, QVWHU
&RQILGHQWLDOLW\ 3ROLF\ RI WKH)HGHUDO 5HVHDUFK
- b. 3DUWLFLSDQWV LQ UHYLHZ SURFHVVHV FRQILUP WKDW V
LQYHVWLJDWLRQ IRU DQ DOOHJHG EUHDFK RI WKH 5&5)
RI UHVHDUFK SROLFLHV VXFK DV HWKLFV LQWHJULW\ F
,I SDUWLFLSDQWV PHOYHV XQGHU LQYHVWLJDWLRQ V
WKHPHOYHV IURP SDUWLFLSDWLRQ LQ DQ\ \$JHQF\ UH
FRPSOHWH DQG D GHWHUPLQDWLRQ LV PDGH E\ WKH
SDUWLFLSDWLRQ

2.7 Appropriate supervision and training in the conduct of research

\$OO UHVHDUFKHUV DUH UHVSRPÀ€a'ã W^- à ð ð UHVHÄ.° 00PW0@ p

3.1 Breaches of Agency Policies

\$ EUHDFK RI WKH 5&5)UDPHZRUN LV WKH IDLOXUH WR FRPS
OLIH F\FOH RI D JHVRPDD\$SOSLFCBMLHCPV WRUWKH FRQGXFWR RI
WKH GLVVHPLQDWLRQ RI UHVHDFK UHVXOWV ,Q GHWHUPL
SROLF\ LW LV QRW UHOHYDQW WR FRQVLGHU ZKHWKHU D
+RZHYHUW LQVHQRQVLGHUDWLRQ LQ GHFLGLQJ RQ WKH VHY
7KH IROORZLHQJ LQVXVWRQ OLWV RI EUHDFKHV RI \$JHQF\ SRO

3.1.1 Breaches of Tri-Agency Research Integrity Policy

- a.)DEULFDWLNRLQJ XS GDWD VRXUFH PDWHULQF\ XEHWKJ
JUDSKV DQG LPDJHV
- b.)DOVLILFDVQLS\ODWLQJ FKGDWLQJVRXU RPLPDWLQJLDO
RU ILQGLQJ\XGLQJ JUDSKV DSSURBDBNDRZDMLGKXRFWQ
WKDW WKH UHVHDFK UHFRUG LV QRW DFFXUDWHO\ U
- c. 'HVVUXFWLRQG B W UHFRURDQFK GHVVUXFWLRQ RI RQH V
UHVHDFK GDWD LQRUFRQWURDGHVSLRQ D EIOH IXQGLQJ D
LQVWDQSRVDRG RDZV UHJXODWLRQV DQG SURIHVVLRQ
7KLV DOVR LQFOXGHV WKH GHVVUXFWLRQ RI GDWD RU
- d. 3ODJLDJUVHDOGLDQ R WKHU V SXEOLVKHG RU XQSXE
WKRULHVGFRQFMSWVFH PDWHULDO LQFOXGGRUJWD-SV
LPDJHV DV RQWKR XZQDSZURS DQGVHLIUHHTXHLQFLQJ
SHUPLVLRQ
- e. 5HGXQGDQW SXESODMLRQSPXEHOLFDFWLRQ RI RQH V RZ
SXEOLVKHG ZSDUNLVKEXGDRD QODQJXZLJHKRXW DGHTX
DFNQRZOHGJPHQ WURM XMKWL LRFDFLHRQ
- f. ,QYDOLG DXQKRFUKLSH DWWULEXWKIGLQVRW UDEWWRBQ
DXWKRUVKLS WR SHUVRQV D V K HU WKEDQ DVK R DQZ KRQK
ZKR D FHHSSRQV LVEK D LFRQR B Q EVO R EDVR RXPHQW
- g. ,QDGHDXNQRZOHGJLQPHQWWR DSSURBDBNDRZDMLGKXRFWQ
WURM XMKWL LRFDFLHRQ
- h. 0LVPDQDJHFRQWLQW RDLQXUHM RWDS SQRSULDDG DGGU
UHSRWHQWLD OFRQISHBWHRYHGWHUHWKHV WQVDFRBRGQ
RQ FRQIOLFWRUHLVSHUFRQWLQRJ PRUEM RIRW WSHV
)UDPHZRUNMLFOH R P EHLQJ PHW

- b. ,QGLYLGXDOV LQYRQYHGVLDLDDWLLRTOQLWLMUXRQGRWWSKR
SUFRIVV DV D FRPSODLQDQW D UHVSRRQGHQW RU D WKLU

4 RESPONSIBILITIES OF INSTITUTIONS

4.1 Agreement on the Administration of Agency Grants and Awards by Research Institutions

7KH \$JUHHPHQW RQ WKH \$GPLQLVWUDWLRQ RI \$JHQFH WUDQW
RXW WKH PLQLXP UROHV UHVSRRQW ELDWLRQWLDQ G VU D TFXR
RI HOLJLELOLWYDQW \$DSSFO\IXRQLQJ

4.2 Promoting Responsible Conduct of Research

,QVWLWXWLRQV VKDOO VWULYH WR SURYLGH DQ HQYLURQP
UHVHDUFKHUV DEVDWLDFWRQWDEOKRSHQO\ DQG IDLU
GLVVHPLQDQWLRQWVWLWXWLRQV VKDOO GR VR E\

- a. (VWDEOLVKQGDSSSRQVLEOHUSRQIDUFRKFSQRVXKQXUHV
PHWKH UHTXLUH\$&5)QDFRZRUMILFOH
- b. 5HSRUWRQV&5) \$HWLFOH
- c. 3URPRWLQJ HGXFDWLRQ RQ DQG DZDUHQHVV RI WKH
UHVH\$UWKFOH

4.3 Institutional Policy Requirements for Addressing Allegations of Policy Breaches

,QVWLWXWLRQV SOD\ LPSRUWDQW DURDMSRQLRG EHVDFKQJ
UHVHDUFKHUVFULEHG DQG 6HQWLRQXULQJ WKDW VXFK DO
DSSURSULDWHO\PDQGHLLQ DQWVWLRQV VKDOO GVKDORS
DSSODVWRUHVHDUFKFRIDQVFLVHG RQGHXULG GHFWLDROOHJDWL
EUHDEKHMVHDKKHUQFOXGHV DW DVIEQLRQV WKH IROORZ

4.3.1 Definitions

7KH GHILQLWLRQWRIBBQ\LELOLWLHVHWQGHVWLRQRI
DQRIW&5)UDPHZRUN

⁷ Adapted from CCA (2010). [Honesty, Accountability and Trust: Fostering Research Integrity in Canada](#):
Council of Canadian Academies

- c. \$Q LQYHVWLJDWLRQ FRPPLWWHH DSSRLQWHG ZLWK W
RFFXUUHG 7KH LQYHVWLJDWLRQ ZKRP KWWHH HQMKDOD
H[SHUWLHV DQG ZKR DUH ZLWKRXW FRQIQGWDWR QEDVHU
H[WHUQDO PHPFKU DHIQVKDDWQ,QQ/ ZLWK WLRQ
- d. 5HDVRQDEOH WLPHOLQHV IRU FRPSOHWLQJ DQ LQTXLU
ILQGLQJV PDNLQJ D GHFLVLRQ RQ ZKDW DFWLRQ VKRX
SDWLHV LQKROWLPHGHOZQWKLPXWKHEHHSRUWLQJWLPQIHU

4.3.5 Recourse

- a. \$ SURYLVLRLQ WKDW WKH LQYHVWLJDWLRQ FRPPLWWH
SURLGH, QWRLWXMLRQ JV FHQWUDO SRLQW BILQRQWDF
, QVW LQWXSRLRQ \
- b. \$ SURFHVV IRU GHHWUPLFRQDQVHHDWQNEQVWKPKNQQR
DFFRXQW WKH VHYHULW\ RI WKH EUHDFK

4.3.6 Accountability

- a. \$ SURFMRXURDLGHFWHGZLSOHVHLYDQW LQIRUPDWLRQ DER
RXWFRPH RI WKH LQTXLU\ DQG LQYHVWLRLQJ QVWLV
RQ WKH PHDVXUHV WKDW WKH\ PD\ EH WDNLQJ WR LPSU
UHVXOW RI WKH DOOHJDWLRQ ,QIRUPDWLRQ VKRXOG
SULYDF\ OHJLVODWLRQ QWLSXOLFDQFRQWRXWKIDQJ WKH
LQYHVWLJDWLRQ 5HFRSRJQGHQMDLQKRXQDURLOASRQKQWH
WKRVLV ZKR DUH DXWKRULJHG WR UHFHLYH WKLV SHUVR
- b. \$ SURYLRLQJHJRWLRQV QVWLVGLDQVWLVHWRQVDEOEH
PDGHE\ WKH ,QVWLWXWLRQ WR SURWHFW RQIRXQGRGH
DOOHJDWLRQ

4.4 Reporting Requirements

- a. 6XEMHFW WR DQ\ DSSOLFDEOH ODQZWWLWQXFKBQQVKSDLOY
UHO\$YBQFAW 65L8P5PHGLDWHO\ RIUDHQDDVCHGJDRWDRQVYLWLF
\$JHQWKDW PD\ LQYROYH VLJQLILFDQW ILQDQFLDO KHD
- b. 7KHQVWLWXZULBQHWKVDQD WFRQKHP65&5ZKHWKHU RU QRW
SURFHGLQJ ZLWKZKHQHQWKMV65&5ZLRLQFRSLHG RQ WKH
DV \$HWLFDHI D EUHDFK LV FRQILUPHG DW WKH LQTXLU
RXWOISQHWGLDQHDSSO\

b. &RPPXQLFDWLQJ LWV SRFOLG XRFQWRKHUHMESRVEMLXVWHRQQ
SRVDDQKDRQLWV:HEVRQHRQIRWPHDQULROGKSRVRRF\
HJWKHQREHDDQGWXUHVRXEMKIFVEUHRDISHSOLFDEOH
WISULYDZV

5HSRUWLQJ DQGSDFQWWRWRWDO QXPEHU RI DOOHJD
\$JHQF\ IXQGV WKH QXPEHU RI FRQILUPHG EUHDFKHV D
WR DSSOLFDEOH ODZV LQFOXGLQJ SULYDF\ ODZV

c. &RPPXQLFDWLQJ VZLWKLQ LWRKH WKH FHVSRQVDOESRHLQRU RIH
FRQILGHQWLDO HQTXLULHV DOOHJDWLRQV DQG LQIRU
\$JHQFROLFHV

5 BREACHES OF AGENCY POLICIES BY INSTITUTIONS

,Q DFFRUGDQF UHZLWFKWIGHE\ WKH \$JHQFLHKVHDSQGHQDFHKV, QN W
WKHDFK VWLWXWLRQWRKRSJSHQFDASDOERQGLWLRQDSRSHOIRJLEDO
DGPLQLVWHU \$JHQF\ IXQGV

7KH SURFHVV IROORZHGE\ WKH \$JHQFHEDVIRIDSRQGHV DQ
DQVWLWXWLRQWRKRSJSHQFDASDOERQGLWLRQDSRSHOIRJLEDO
D FRQILUPHG REXWDLQSDHJDEHPMIAV

6 RESPONSIBILITIES OF THE AGENCIES

,Q VWULYLQJ WR PHHWDWYKBPHEZVWIFWIFVLRV WKEHVHVSQRQV

a. FRPPXQLFDV&GJUDWPHLZRLQFOXGLQJ WKH FRQWDFW LQ
UHVSQRQVLEOH IRU LWV DGPLQLVWUDWLRQ

b. UHVSQRGLQJ SURPSWO\ WSR&SJDPRHZRHUW UHJDUGLQJ WKI

c. KHOSLQJ WR SURPRWH WKUHVHDSRQVDFQWRRQGXEWX
,QVWLWXWLRQWHLZLSULFVWVWHRQWDSRQPHZWKIV

d. UHYLHZLQJ DQGS\$GDPHLZRWVWKIDWWHYDQJ ILYH\HDUV

e. UHVSQRGLQJ WR DOOHJDVSRQLFIRHVEUHDFKHV RI \$JHQF\

6.1 Tri-Agency Process for Addressing Allegations of Policy Breaches by Researchers

7K \$JHQFLWKURXJK DQGH&SSOD\ LPSRUWDQW UROHV LQ DGG
EUHDFKWKHLDSBQLCFHQXULQJ WKDW VDFKDRSDUHLDDWHLRQD

WLPHO\ \$ V Q D Q H U W L P H D I W H U D Q V D Q P D J D U W L T R Q H V L W E Q G H U P D V
W K H I L Q X G D Q Q D V Q G I V O X V R I O R Y Q H G

6.1.1 Receiving Allegations

- a. , I W K H 6 5 & 5 H L Y H V D Q D O O H J D W L R Q Z L O O F D W O N W U K R H P F D R F S
W R S U R Y L G H W L Q H Z L O W R U , Q V W L W X W L R Q V K H U H V H D U F K H U
F X U U H Q W G \ H H Q S U R F O G H G D V D V W X G H Q V Z L R W K K I D V F D S I R V U R
6 5 & 5
- b.) R O O R Z L Q J U H F H L S M R I K E I Q P D V O W H H J D W Q R R O Y H V \$ J H Q F \ I
E U H D E K J H I Q S R O K W 5 & Z L O F O O X S Z D V Q H H G H G Z L W K W K H F F
, Q V W L W X W L R Q D Q X G E R I W K W U W S R D D S \ S L O I V F 3 D U E L O Y H D F O D S F W L Q F O X
- c. \$ Q \$ J H Q F \ P D \ V X Z E L D V O V K H D W L R Q W V G I L W H F W D Q W I R U D Q [D
U H V X O W R I L Q I R U P X J K L R Q V R V E L W X L V Q U R G Y D E K Z R R V Q L V S R I U L Q U H
D F W L Y L W L H V

6.1.2 Review of Institutional Reports

- a. 7 K B 5 & 5 P D \ I R O X S R Z L W Q V W K M X W L R Q D V Q H H G H G W R R E W D
W K H L Q Y H V W L J D W L R Q
- b. 7 K B 5 & 5 D Q V G K 5 & Z L O O U H K G L V H Z L J W X U W S R Q G W V Z K U F L K H F H H W V
\$ J H Q F \ H F F X Q W V D V \$ R X W L E O D B G D Q G H W K K I U H K D V E H H
E U H D F K R I S B J O L O V E S H U H H P I Q C W R U D I X Q G L Q J 6 D & 5 P B H P H Q W
I R O X S Z Z L W Q V W K M X O V L U R L Q L I R D U W E R Q
- c. 7 K B 5 & 5 Z L O O U H F R P P H Q G U H F R X U V H L 5 & 5 S U S U P R S Z U R L L D N W H

6.1.3 Recourse

- a. , I W K H \$ J H Q F \ G H W H U P L Q H V W K D W W K H U H K D V E H H Q D
W K H U H F R X U V H L W F R Q V L G H U V D S S U R S U L D W H K H F Q P P H Q
P D N L Q J L W K H G S F H Q I E R Z L O Q W L D N H 3 D & 5 P R P H Q G D W L R Q
W K H V W L W X W L R Q T V I L Q G L Q J V W K H V H Y H U L W Q V R W L W K X H W E R
D Q U G H V H L Q F Y R H U Y H G W R U H P H G \ W K H E U H D F K
- b. 6 X F K U H F R Q U L Q H F O X Q R H V G K M L W H G W R

- f* issuing a letter of concern to the researcher;
- f* requesting that the researcher correct

Institution and/or the researcher when deciding on whether further action is required.

- 6.1.5.2 **Review or Compliance Audit** The Agency may conduct its own review or compliance audit, or require the Institution to conduct an independent review/audit. The Agency will consult with the Institution and will consider the investigation already planned, underway or completed by the Institution, and its findings.

A 6800\$5< 2)

B */266\$5<

7KLV JORVVDU\ LV LQWHQGHG WR DVVZVSW HUH DPHUZ/R UQ WK
5HVSQRVLEOH &RQ DDFWR RIH5 H V L B) QDFM H D R T U M R N DUH GHILQ
DFFRUGDQFH ZLD GWRKEINSX FV L B) V H V P H Z R U N

\$FFRXQW D E H D Q W U H V S R D T W E L O R H Q V R U

\$JHQFLH D Q D G D T V W K D Q D W J H Q F L H V D H O @ W K H & D Q D G L D Q , Q V W L W X
& , + 5 W K H 1 D W X U D O 6 F L H Q F H V D Q R I (8 Q D Q D E E B L Q D Q 5 G H W H C H L
6 R F L D O 6 F L G G F X P D Q L W L H V B H H & D Q D G K S & R X Q F L O

\$JHQFROLFLH V H V W R I U X O H V G I L U V W E M D Y O H L O D Q L G Y L Q X B E O S L J G
M R L Q W O \ E \ W K H \$ J H Q F L H V

\$JUHHPHQW RQ W K H \$ G P L Q L V W U D W L R Q R I \$ J H Q F W L * W D W W R Q
W K H \$ J U H H P H Q W D J U H H P H Q W E H W Z H H Q W K H \$ J H Q F L H V D Q G , O
P D Q D J H U H V H D U F K I X Q G L Q J I U R P W K H \$ J H Q F L H V

\$O O H J S G H F Q D U D W L R Q V W D W H P H Q W R U D V , Q H W W L M R Q V E R Q F
\$ J H Q F \ K W R H M H F W W K D W W K H U H K D V E H H Q R U F R Q W L Q X H V
S R O L F L H V W K H Y D O L G L W \ R I Z K L F K K D V Q R W E H H Q H V W D E C

\$SSOLFDQW LP @V QRW *U y.ç Ff)TPc \$JUHH RQ P*U y.FÿX ñ %9bf

