

ASSOCIATION POUR LA RECHERCHE AU COLLÉGIAL

DEVELOPING  
AN INSTITUTIONAL  
RESEARCH PLAN

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# TABLE OF CONTENTS

I	WHY AN INSTITUTIONAL RESEARCH PLAN? .....	5
II	INSTITUTIONAL RESEARCH POLICY .....	7
	<i>WHAT To include in the policy statement</i> .....	8
III	POLICY STATEMENT ON INTEGRITY IN RESEARCH.....	9
	<i>Reference documents</i> .....	9
	<i>Background papers</i> .....	9
	<i>Some examples OF good policies</i> .....	9
	<i>What TO include in the policy statement</i> .....	10
IV	POLICY STATEMENT ON ETHICAL CONDUCT IN RESEARCH INVOLVING HUMANS .....	11
	<i>Reference documents</i> .....	11
	<i>Some examples OF good policies</i> .....	11
	<i>WHAT to include in the policy statement</i> .....	12
V	RESEARCH ETHICS BOARD .....	13
	<i>Other background papers</i> .....	13
VI	DEFINITIONS.....	16
VII	APPENDICES .....	18
	<i>Appendix 1: Inventory of college research policies</i> .....	19
	<i>Appendix 2a: TABLE SHOWING THE research ethics and integrity REQUIREMENTS</i> .....	21
	<i>of the main federal funding agencies</i> .....	21
	<i>Appendix 2b: TABLE SHOWING THE research ethics and integrity REQUIREMENTS</i> .....	23
	<i>of the main provincial funding agencies</i> .....	23
	<i>Appendix 3: List of contacts AT funding agencies</i> .....	25
	<i>Appendix 4: contact list of research ethics organizations</i> .....	26
VIII	REFERENCES (☐) .....	27



## I WHY AN INSTITUTIONAL RESEARCH PLAN?

This document is the synthesis of a study conducted by Association pour la recherche au collégial (ARC) to assist colleges wishing to develop an institutional research plan.

What do we mean by “institutional research plan”?

*A plan aimed at (re)defining the institution’s research mission and objectives, and at establishing the institutional policies needed to accomplish that mission and achieve those objectives in the best possible conditions.*

A survey of college-level institutions in Québec conducted in March 2006 showed that they in fact have three distinct types of institutional research policies, usually called:

- Institutional research policy
- Research integrity policy
- Ethics policy on research involving humans

(An inventory of college research policies is found in Appendix 1).

How useful are these documents? Do the agencies funding research consider them necessary? ARC addressed these questions by examining the criteria set forth by the various research funding agencies in Quebec and Canada (a table showing their ethics and integrity requirements is found in Appendix 2). ARC obtained this information from the following agencies:

### **In Canada:**

- Natural Sciences and Engineering Research Council of Canada (NSERC) - [www.nserc.gc.ca](http://www.nserc.gc.ca)
- Social Sciences and Humanities Research Council of Canada (SSHRC) - [www.sshrc.ca](http://www.sshrc.ca)
- Canadian Institutes of Health Research (CIHR) - [www.cihr-irsc.gc.ca](http://www.cihr-irsc.gc.ca)
- Canadian Foundation for Innovation (CFI) - [www.innovation.ca](http://www.innovation.ca)

### **In Quebec:**

- Fonds québécois de recherche sur la nature et les technologies (FQRNT) - [www.fqrnt.gouv.qc.ca](http://www.fqrnt.gouv.qc.ca)
- Fonds québécois de recherche sur la société et la culture (FQRSC) - [www.fqrsc.gouv.qc.ca](http://www.fqrsc.gouv.qc.ca)
- Fonds de la recherche en santé du Québec (FRSQ) - [www.frsq.gouv.qc.ca](http://www.frsq.gouv.qc.ca)

In order for a researcher from an institution to be able to apply for one of the grant programs open to colleges **at a federal funding agency, the institution must, above all, be considered eligible to administer grant funds.** For this purpose, the institution must submit an eligibility request to each of these agencies (a list of contacts is found in Appendix 3). However, three of these agencies (NSERC, SSHRC and CIHR) share the same directives and expectations regarding ethics and integrity issues, so that if one of them accepts the institution’s policies in this field, the others will automatically accept it as well. Moreover, the reference documents produced by the three Councils are also used as references by other funding agencies, both federal and provincial.

In Quebec, grant funds are paid directly to the researcher, not to the institution. Therefore, the requirements are directed at the researcher, not at the institution. **While requirements for Quebec research funds are not as strict as those prescribed by the federal councils, Quebec agencies nonetheless encourage institutions to establish research integrity and ethics policies.**

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Before developing an institutional research plan, an institution should first consider how much importance it wants to give to the research activities that take place within its walls. If the institution has or plans to have a pool of researchers, and if it has infrastructures in place for obtaining research funding, then it may be a good idea to undertake this project. Besides, it is better to start thinking today about setting up the mechanisms needed for research in the future.

The procedure recommended by ARC involves three steps:

**Step 1:**        *Developing an institutional research policy*

While such a policy is not explicitly required by the funding agencies, it helps lay the groundwork for other policies by defining an institution's research mission and the support that the institution agrees to provide for research.

**Step 2:**        *Developing a policy on integrity in research*

This policy is required by the three Federal Granting Councils and applies to all research projects carried out within an institution.

**Step 3:**        *Developing a policy on ethical conduct in research involving humans*

If an institution allows its members to conduct research involving human subjects, then this policy is required by most funding agencies.

During this step, the institution will also have to consider setting up a **Research Ethics Board (REB)**, which will conduct ethics reviews of research projects involving human subjects. Colleges can consider several types of REB systems.

Each of these steps is explained in greater detail in the following sections.

The symbol  indicates that the reference for the document cited is available in the last section of this document.

## II INSTITUTIONAL RESEARCH POLICY

It is at this stage that ARC recommends that the institution embark on the process of developing an institutional research plan.

The exercise of writing an institutional research policy statement helps define the role and importance of research within the institution. Such a policy statement not only demonstrates to all the bodies concerned (including funding agencies) that the institution is committed to research, it also helps establish a framework for research activities, ensure higher-quality research and promote these activities within the institution.

This document must reflect the institution's research philosophy as accurately as possible. The institution should therefore set up a reflection committee, and this committee may, for example, focus on the following issues and questions:

- What is the institution's research mission?
- Whose responsibility is it to implement this research mission?
- What level of support does the institution provide for research (in terms of infrastructures, funding, time allotted to teachers for research activities, etc.)?

A first working document may be submitted to various departments and department heads at the institution for purposes of consultation. This document may be reviewed and modified as many times as necessary before it is accepted by the board of directors.

Note that it is essential that all individuals who play a role in research at the institution become involved in the process in order to ensure that the research plan is both appropriate and successful.

### WHAT TO INCLUDE IN THE POLICY STATEMENT

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The list below shows the items that can be found in an institutional research policy statement. This list was developed using examples of such policy statements collected directly from the institutions.

- Scope of the policy**
- Purpose of the research**
- Definitions of terms**
- Guiding principles**
- Organizational framework and support available for research activities**
- Integration of research with other activities at the college**
- Sharing of responsibilities**
- Dissemination of research**
- Development of research skills**
- Institutional objectives and research priorities**
- Code of ethics<sup>1</sup>**
- Implementation and review**

For more details on the content of these items, please refer to the policies adopted by educational institutions. These policy statements are generally available on the institutions' websites (an inventory of research policies adopted by college-level institutions is found in Appendix 1).

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<sup>1</sup> This section refers to the *Policy Statement on Ethical Conduct in Research Involving Humans* that appears further on. It occurs in cases where institutions have not established such a policy.

### III POLICY STATEMENT ON INTEGRITY IN RESEARCH

The adoption of a research integrity policy by an institution shows that the researchers are adhering to ethical principles when they conduct their research, and that the institution is ensuring adherence to these principles.

#### REFERENCE DOCUMENTS

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-  **Tri-Council Policy Statement: Integrity in Research and Scholarship** - To promote the enforcement of high standards of integrity in research and scholarship, the three Federal Granting Councils (NSERC, SSHRC and CIHR) have defined their expectations in this regard in this document. It sets forth the responsibilities of researchers, institutions and funding agencies in the area of scientific integrity.
-  **Framework for the Tri-Council Review of Institutional Policies Dealing with Integrity in Research** - This document contains a list of items that the three Federal Granting Councils recommend be included in the research integrity policy statement.

#### BACKGROUND PAPERS

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-  **Pour une intégrité en recherche (Audy)** – What is integrity in research? This document examines the concept and presents practices that constitute breaches of integrity.
-  **Manquement à l'intégrité et détermination de la sanction: un art qui n'a rien d'une sinécure? (Audy)** – What procedure should be followed when a breach of integrity occurs? This document outlines a procedure for processing allegations of breach of integrity and provides reference points for determining the appropriate disciplinary action.

#### SOME EXAMPLES OF GOOD POLICIES

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It is possible for an institution to ask another institution for permission to adapt its policy for its own use. The policies listed below have been designated by the three Federal Granting Councils as exemplary research integrity policies. However, this list is not exhaustive, and other examples of good policies can be found on the websites of other institutions.

- In French:
  - Cégep de Rimouski, *Politique d'intégrité en recherche* (2001) [[www.cegep-rimouski.qc.ca/serv/cahigest/E-20.pdf](http://www.cegep-rimouski.qc.ca/serv/cahigest/E-20.pdf)]
  - Université du Québec en Outaouais, *Politique d'intégrité dans les activités de recherche et de création* (2001) [[www.uqo.ca/direction-services/secretariat-general/policies-reglements/documents/vrer12poli.PDF](http://www.uqo.ca/direction-services/secretariat-general/policies-reglements/documents/vrer12poli.PDF)]
- In English:
  - Red River College, *Integrity in Research and Scholarship* (2004) [[www.rrc.mb.ca/files/File/policies/H2-integrityinResearchandScholarships.pdf](http://www.rrc.mb.ca/files/File/policies/H2-integrityinResearchandScholarships.pdf)]
  - Niagara College, *Research Integrity* (2004) [[http://niagarac.on.ca/practices/docs/research\\_integrity.doc](http://niagarac.on.ca/practices/docs/research_integrity.doc)]

### WHAT TO INCLUDE IN THE POLICY STATEMENT

The items appearing in the list below are the minimum requirements to be included in a research integrity policy statement. This list was submitted for verification to contact persons in the federal funding agencies and reflects their requirements at the time of the survey.

The fields marked by an asterisk (\*) are required by the three Federal Granting Councils. The fields in brackets are not required to be included in the policy statement, but are recommended.

- Purpose\***  
*What are the objectives of this policy?*
- Definitions of terms\***
- Scope and responsibilities\***  
*What people and research activities are affected by this policy?  
Who is responsible for its enforcement?*
- General principles of research integrity\***
- Standards of integrity\***  
*What standards of conduct in research does the institution expect from members of the institutional community (especially in the areas of honesty, respect for others, scientific competence and resource management)?*
- Policy on data recording, ownership and retention\***
- Policy on authorship and publication\***
- Disclosure of potential conflicts of interest\***
- Training and prevention\***  
*What measures has the institution adopted to promote integrity and prevent misconduct?*
- Description of what constitutes misconduct\***
- Procedures for processing allegations of misconduct\***  
*The institution must show that procedures were established to:*
  - Receive allegations of misconduct (*NOTE: Identify a central point of contact, at the vice-presidential level or its equivalent*)
  - Conduct investigations (*NOTE: It is important to specify the completion deadline and a detailed process*)
  - Protect privacy and confidentiality
  - Provide an opportunity for response and for due process
  - Make decisions on misconduct
  - Determine actions in response to a report
  - Report on the results of the investigation
  - Maintain records (*NOTE: It is important to define access rights to investigative reports or records within the institution*)
- Producing reports for Granting Councils\***
- (Actions aimed at protecting:**
  - 1) person(s) having made an allegation in good faith**
  - 2) all persons involved in the investigation (e.g. witnesses))**

For more details on the content of these items, please refer to the policies adopted by the educational institutions and the reference documents listed above.

## IV POLICY STATEMENT ON ETHICAL CONDUCT IN RESEARCH INVOLVING HUMANS

If an institution allows its members to undertake research activities involving human subjects, then it must have a policy statement on ethical conduct in research involving human subjects, as well as ethics review procedures for such research projects.

### REFERENCE DOCUMENTS

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-  **Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)** - This document, developed by the three Federal Granting Councils (NSERC, SSHRC and CIHR), defines the minimum standards and the procedures that regulate research involving human subjects. The three Councils require that the institution adopt the TCPS as a whole and that the items in Chapters 1 and 2 be incorporated in its ethics policy on research involving humans.
-  **Introductory Tutorial for the Tri-Council Policy Statement** - This online tutorial is offered by the Interagency Advisory Panel on Research Ethics (PRE) to facilitate the use, interpretation and implementation of the TCPS. It is based on case studies.

### SOME EXAMPLES OF GOOD POLICIES

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It is possible for an institution to ask another institution for permission to adapt its policy for its own use. A list of policies that have been designated by the three Federal Granting Councils as exemplary ethics policies on research involving human subjects is available on the NSERC website, at [http://www.crsng.gc.ca/institution/good\\_practices\\_e.htm](http://www.crsng.gc.ca/institution/good_practices_e.htm). This list was last revised in 2000, so certain items now required by funding agencies may be missing from these policy statements. Here, then, are a few additional examples of policies these agencies designated as exemplary at the time of the study:

- In French:
  - Université du Québec en Outaouais, *Politique d'éthique de la recherche avec des êtres humains* (2001) [[www.uqo.ca/research/ethique/](http://www.uqo.ca/research/ethique/)]
  - École de technologie supérieure, *Politique d'éthique de la recherche avec des êtres humains* (1999, revised in 2002) [[www.etsmtl.ca/sg/Policy/polethsh.pdf](http://www.etsmtl.ca/sg/Policy/polethsh.pdf)]
- In English:
  - Niagara College, *Research Involving Human Subjects* (2004) [[http://niagarac.on.ca/practices/docs/research\\_involving\\_human\\_subjects.doc](http://niagarac.on.ca/practices/docs/research_involving_human_subjects.doc)]
  - University of Calgary, *Ethical Conduct for Research Involving Humans* (1999, revised in 2000) [[www.ucalgary.ca/UofC/research/documents/guidelines\\_revised\\_2000.doc](http://www.ucalgary.ca/UofC/research/documents/guidelines_revised_2000.doc)]

WHAT TO INCLUDE IN THE POLICY STATEMENT

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The fields marked by an asterisk (\*) are required by the three Federal Granting Councils. The fields in brackets are not required to be included in the policy statement, but are recommended.

- Purpose\***  
*What are the objectives of this policy?*
- (Definitions of terms)**
- Scope\***  
*What people and research activities are affected by this policy?*
- Ethical guidelines\***  
*The institution adopts the main guiding ethical principles promoted by the Tri-Council Policy Statement:*
  - Respect for human dignity
  - Respect for free and informed consent
  - Respect for vulnerable persons
  - Respect for privacy and personal information
  - Respect for justice and inclusiveness
  - Balancing harms and benefits
  - Minimizing harms
  - Maximizing benefits
- (Responsibilities)**
- Research Ethics Board\***
  - Composition, appointing members and quorum rules
  - Powers, roles and responsibilities
  - Meetings and minutes
  - Conflicts of interest
- Procedure for ethics review of research involving human subjects\* (**Chap. 1 TCPS**)  
*The institution must show that procedures were established at each step of the review:*
  - Review of scholarship criteria
  - Submission of the plan
  - Project review procedure (proportionate approach to ethics review)
  - Making a decision
  - Reconsideration of decisions
  - Appealing decisions (*NOTE: Specify who will sit on the appeals board*)
  - Review of projects in progress
  - Review of multicentre research
  - Review of research coming under other authorities or conducted in other countries
- Conflicts of interest\***  
*This section may be the subject of a separate, institution-wide policy*
- Free and informed consent\* (Chap. 2 TCPS)**
- (Privacy and confidentiality of information)**
- (Interpretation of the policy)**

For more details on the content of these items, please refer to the policies adopted by the educational institutions and the reference documents listed above.

## V RESEARCH ETHICS BOARD

The Research Ethics Board (REB) is the body responsible for conducting ethics reviews of research projects involving human subjects. It is responsible for conducting independent, multidisciplinary ethics reviews of projects submitted in order to determine whether the research should be permitted to start or to continue. It also has a consultative function and thus contributes to education in research ethics. This body generally takes the form of an institutional committee.

However, the *Tri-Council Policy Statement* suggests that institutions consider alternative systems for setting up an institutional REB. Thus, paragraph c of Article 1.4 reads “Small institutions may wish to explore regional cooperation or alliances, including the sharing of REBs.” Article 1.2 states that “An institution can authorize its REBs to accept the review of other REBs constituted under the Tri-Council Policy Statement if it so wishes. This could involve specific agreements between institutions for sharing the work.”

But the *Tri-Council Policy Statement* provides no further information about these alternative systems. For this reason, ARC tried to find examples of cooperation, agreements or groups, often outside the teaching environment, in order to understand and illustrate how these REBs function, as well as to show their benefits and disadvantages.

It was from the health field, where the issue of research ethics is highly developed, that ARC drew most of the information presented in the table below. The following documents, produced by the Unité de l'éthique of the Ministère de la Santé et des Services sociaux (MSSS), were especially useful for this purpose:

-  *Les CÉR et leurs partenaires: des forces à lier?*
-  *L'évaluation et le suivi éthique des projets de recherche multicentriques – Mieux conjuguer protection des sujets, équité et efficacité – Orientations ministérielles*

This information should help institutions with their reflection, including

- What system is best suited to the circumstances of college-level institutions?
- What do institutions have to gain from each of these systems, and what do they have to lose?
- What conditions should be established to maximize the benefits of each of these systems, and, as applicable, minimize their disadvantages and risks?

### OTHER BACKGROUND PAPERS

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-  *De quelques réflexions sur les splendeurs et misères des comités d'éthique de la recherche (Audy)* - This document deals with the mandate, composition and functioning of REBs.

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

SYSTEM	ADVANTAGES/BENEFITS	HARMS/RISKS
<b>Setting up an institutional REB</b>		
<p><i>Conditions:</i></p> <ul style="list-style-type: none"> <li>- The head of the institution provides the REB with unconditional support (resources, training, etc.)</li> <li>- The REB must hold regular meetings, even if there is no project to review (this time may be spent on training activities, etc.)</li> <li>- The operating structure is clear</li> <li>- There is a reciprocal exchange of knowledge between the REB and researchers</li> </ul> <p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>- Dawson College</li> <li>- Almost all universities</li> </ul>	<ul style="list-style-type: none"> <li>- Institutional autonomy</li> <li>- Possibility of doing a detailed analysis and follow-up for each research project</li> <li>- Development of a culture and practice of ethics in the institution</li> </ul>	<ul style="list-style-type: none"> <li>- Recruiting members (limited number of people with the required skills who are available to sit on a REB)</li> <li>- No permanence (consequently: little training, no tools created, etc.)</li> <li>- Risk of conflicts of interest (since the number of people involved in research is limited)</li> <li>- Risk of jeopardizing the existence and proper functioning of REBs (the low volume of research projects can put the REB in a relatively fragile position)</li> </ul>
<b>Setting up a joint REB</b>		
<p>The joint REB reviews all research projects submitted to institutions that are parties to the agreement.</p> <p><i>Conditions:</i></p> <ul style="list-style-type: none"> <li>- The joint REB reports to the boards of directors of institutions bound by the agreement</li> <li>- Each institution's ethical and legal responsibility regarding what happens in its jurisdiction remains intact</li> <li>- The group must be based on real, shared interests (members belong to the same region, share the same mission or same specialization)</li> <li>- Each institution is a voluntary member of the group</li> <li>- This group is of a permanent nature</li> <li>- The group must be based on flexible organization and very tight coordination</li> </ul> <p><i>Examples:</i></p> <ul style="list-style-type: none"> <li>- Centre for Interdisciplinary Research in Rehabilitation of Greater Montreal (CIRR)<sup>2</sup></li> <li>- Multivocational institutions in the Eastern Townships</li> <li>- Centres de réadaptation en déficience intellectuelle (CRDIs)<sup>3</sup></li> </ul>	<ul style="list-style-type: none"> <li>- Optimal use of financial and human resources</li> <li>- Higher overall level of expertise in the REB, in both ethical and scientific terms</li> <li>- Improved quality of the ethics review</li> <li>- Standardized procedure for submitting and reviewing projects</li> <li>- Simpler ethics review process for researchers affiliated with several institutions</li> <li>- Networking and information sharing</li> <li>- Closer ties between institutions</li> </ul>	<ul style="list-style-type: none"> <li>- Writing the new board's by-laws (must take into account the current regulatory frameworks and policies at each institution)</li> <li>- Project follow-up</li> </ul>

...

<sup>2</sup> (<http://www.crir.ca/FR/400/>) "The joint Research Ethics Board of CIRR Institutions is one of the first interinstitutional REBs in Quebec, indeed even in Canada. It provides REBs to CIRR institutions that did not have one. When a REB already existed in an institution, the joint REB replaces it as part of its mandate to review and follow up on research projects. [...] It reviews all research projects submitted to the nine institutions that are parties to the agreement. After a delegation and endorsement agreement is signed, its reviews are recognized by the REBs of the three universities with which the CIRR is affiliated." [translation] (Source:  MSSS, *Les REBS et leurs partenaires: des forces à lier?*)

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

### Setting up a centralized REB

The **centralized** REB reviews all research projects carried out at the institutions in a given region.

*Conditions:*

- The centralization exists at the national, provincial or regional levels
- The REB covers a certain type of research

*Example:*

- The Health and Social Services minister's Central Research Ethics Board (Central REB)<sup>4</sup>

- Same as joint REBS

- Difficulty of bringing together, within a single board, all the areas of expertise that are spread throughout various institutions with different specializations
- Risk of a standardized, impoverished view of ethics
- Risk of jeopardizing the development of a culture and practice of research ethics at institutions
- Time frames for reviews
- Project follow-up

### The delegation or endorsement agreement

The institution delegates its ethics review responsibilities to a third-party REB (the agreement may concern all research projects or only the projects conducted in a specific field). This agreement may involve delegating the ethics review or the appeal procedure, or both.

*Conditions:*

- The institution's ethical and legal responsibility regarding what happens within its jurisdiction remains intact
- The sharing of powers and responsibilities between the institution and the third-party REB is clearly established in the agreement

*Examples:*

- Carrefour hospitalier de Jonquière<sup>5</sup>
- Centres de réadaptation en déficience intellectuelle (CRDI)<sup>3</sup>

- Choice of a competent, experienced REB
- Simpler ethics review process for researchers affiliated with several institutions
- Closer ties between institutions

- Negotiation of agreements
- Time frames for reviews
- Project follow-up

<sup>3</sup> Three member institutions of the Fédération québécoise des CRDI have established a joint REB, while the other 19 institutions have a delegation agreement with this REB.

<sup>4</sup> (<http://ethique.msss.gouv.qc.ca/site/ccer.phtml>) "The Central Research Ethics Board (Central REB) of Québec's minister of Health and Social Services conducts reviews of research projects that involve minors or adult age persons who are incapable of giving consent and that take place either in institutions that do not have a research ethics board designated by the Health and Social Services Minister or outside institutions that are part of the health and social services network. [...] The central REB, which is in charge of enforcing article 21 of the *Civil Code of Quebec*, was established by Québec's minister of Health and Social Services and falls within his jurisdiction." [translation] (Source: <http://ethique.msss.gouv.qc.ca/site/ccer.phtml>, consulted September 5, 2007)

<sup>5</sup> This institution delegates the ethics review to the Sagamie REB.

## VI DEFINITIONS

This section contains several definitions that could prove useful in the course of your reflection.

### RESEARCH

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**Research:** “A systematic investigation to develop or contribute to knowledge (which is expressed, for example, in theories, principles, and statements of relationships). Intent to disseminate the results of the investigation in the form of a report, thesis, book, journal article or conference presentation may also signal a scholarly intent.”

(Definition of the Interagency Advisory Panel on Research Ethics)

**Research involving humans as subjects of research:** “Research that includes observation of people going about their daily activities, evaluation of a new teaching method, testing of new drugs or medical devices, interviewing an individual in public life for a scholarly purpose, and research involving human remains, cadavers, tissues, biological fluids, embryos or foetuses. It does not include research about an individual (usually in the public arena or an artist) based exclusively on publicly-available information such as documents, records, works, performances, archival materials or third-party interviews.”

(Definition of the Interagency Advisory Panel on Research Ethics)

### INTEGRITY

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**Integrity:** Quality of someone who is honest and impartial, applies justice rigorously and is of unimpeachable probity.

(Definition of the Grand dictionnaire terminologique – Office de la langue française) [translation]

**Integrity:** The term “integrity” has several meanings, including honesty. Here, it signifies the quality of someone who puts honesty into practice. In the context of scientific research, integrity is concerned with promoting intellectual honesty, the rigorous use of research resources and refraining from placing oneself in a conflict of interest situation.

(Definition of the Fonds de la recherche en santé du Québec) [translation]

**Misconduct:** Deliberate attempt to mislead the scientific community or the public, or to profit unduly from a situation related to the research activity or supervision of students, student trainees or other researchers. Any act that violates the specific laws and regulations (federal, provincial, internal or other) governing certain aspects of the researcher’s activities is considered misconduct. More specifically, the term misconduct is used mainly to describe a violation of the rights of human beings or animals participating in a research project, or of the standards or terms and conditions for using research funds as well as any other legal requirements concerning the type of activities a researcher conducts, and of which he or she must have knowledge.

(Definition of Collège Marie-Victorin) [translation]

### ETHICS

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**Ethics/professional code:** In the context of this document, "ethics" refers to the set of values that should be promoted in the framework of research involving human subjects, while "professional code" refers to the principles and rules arising from the values promoted. These principles and rules define the respective duties of researchers and research institutions. In this document, we use the word "ethics" in order to be consistent with the terminology used in the *Tri-Council Policy Statement*, with the understanding that it encompasses this dual dimension.

(Definition of the Université du Québec en Outaouais) [translation]

**Medical ethics:** Set of principles that guide the conduct of physicians in the everyday practice of their profession, in exercising judgment and in taking on responsibilities regarding their patients, their colleagues and society as a whole.

*Note:* Medical ethics is a complex concept that incorporates elements of a professional code (set of rules governing a profession), morals and science all at once. These three aspects of medical ethics are taken into account in modern experimental protocols, thereby guaranteeing patients' freedom while ensuring that their choices are respected through free and informed consent.

(Definition of the Grand dictionnaire terminologique – Office de la langue française) [translation]

**Research Ethics Board (REB):** A multidisciplinary board established by an institution to conduct an ethics review of research projects involving humans developed or undertaken within that institution.

(Definition of the Interagency Advisory Panel on Research Ethics)

## VII APPENDICES

***Appendix 1: Inventory of College Research Policies***

***Appendix 2: Tables Showing the Research Ethics and Integrity Requirements of the...***

*Appendix 2a: ...Main Federal Funding Agencies*

*Appendix 2b: ...Main Provincial Funding Agencies*

***Appendix 3: List of Contacts at Funding Agencies***

***Appendix 4: Contact List of Research Ethics Organizations***

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

### APPENDIX 1: INVENTORY OF COLLEGE RESEARCH POLICIES

NAME OF COLLEGE	NAME OF POLICY AND YEAR ADOPTED	TYPE OF POLICY			INTERNET LINK (if available)
		Research	Ethics	Integrity	
Cégep de l'Abitibi-Témiscamingue	<i>Politique sur l'intégrité dans la recherche et les travaux d'érudition (2004)</i>			X	Available upon request
Cégep de Chicoutimi	<i>Politique de recherche (1998)</i>	X			<a href="http://www.cegep-chicoutimi.qc.ca/site_college/recherc/Pol-rech.PDF">www.cegep-chicoutimi.qc.ca/site_college/recherc/Pol-rech.PDF</a>
Cégep de Drummondville	<i>Politique institutionnelle de recherche (2005)</i>	X			<a href="http://www.cdummond.qc.ca/information/renseignements/documents_officiels/documents/POLo_000.pdf">www.cdummond.qc.ca/information/renseignements/documents_officiels/documents/POLo_000.pdf</a>
Cégep de Jonquière	<i>Politique institutionnelle de recherche (2006)</i>	X			<a href="http://www.cjonquiere.qc.ca/cegep_jonquiere/francais/procedures.html">www.cjonquiere.qc.ca/cegep_jonquiere/francais/procedures.html</a>
Cégep de Rimouski	<i>Politique de recherche-développement (1989)</i>	X			<a href="http://www.cegep-rimouski.qc.ca/serv/cahigest/E-12.pdf">www.cegep-rimouski.qc.ca/serv/cahigest/E-12.pdf</a>
	<i>Politique d'intégrité en recherche (2001)</i>			X	<a href="http://www.cegep-rimouski.qc.ca/serv/cahigest/E-20.pdf">www.cegep-rimouski.qc.ca/serv/cahigest/E-20.pdf</a>
Cégep de Saint-Hyacinthe	<i>Politique institutionnelle de recherche (2003)</i>	X			Available upon request
Cégep de Saint-Laurent	<i>Politique institutionnelle de recherche (2001)</i>	X			<a href="http://www.cegep-st-laurent.qc.ca/public/f1ca7e5b-dc2b-4338-bad5-9dc4e5c46f21/mes_documents/cegep/reglements_et_politiques/politique_recherche_sl.pdf">www.cegep-st-laurent.qc.ca/public/f1ca7e5b-dc2b-4338-bad5-9dc4e5c46f21/mes_documents/cegep/reglements_et_politiques/politique_recherche_sl.pdf</a>
Cégep de Sherbrooke	<i>Politique de la recherche (2007)</i>	X			Available on the Cégep website in the fall
	<i>Politique d'intégrité en recherche (2007)</i>			X	Available on the Cégep website in the fall
Cégep de Trois-Rivières	<i>Politique d'éthique en recherche et développement (2005)</i>		X		<a href="http://www.cegeptr.qc.ca/college/p-221.pdf">http://www.cegeptr.qc.ca/college/p-221.pdf</a>

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

Cégep du Vieux Montréal	<i>Cadre éthique et déontologique en recherche au Cégep du Vieux Montréal (2002)</i>		X		<a href="http://www.cvm.qc.ca/cegep/policy/Cadre%20%E9thique%20et%20d%E9ontologique%20en%20recherche%20au%20cvm.pdf">www.cvm.qc.ca/cegep/policy/Cadre%20%E9thique%20et%20d%E9ontologique%20en%20recherche%20au%20cvm.pdf</a>
Collège de Maisonneuve	<i>Politique pour l'éthique de la recherche avec des êtres humains (2003)</i>		X		Available upon request
	<i>Politique sur l'intégrité en recherche (2003)</i>			X	Available upon request
Collège Marie-Victorin	<i>Politique institutionnelle sur l'intégrité dans la recherche - No 34 (2006)</i>		X		<a href="http://www.collegemv.qc.ca/fr/media/policy_et_reglement/pol_34_int_grit_in_la_research.pdf">http://www.collegemv.qc.ca/fr/media/policy_et_reglement/pol_34_int_grit_in_la_research.pdf</a>
	<i>Politique institutionnelle sur l'éthique de la recherche avec les êtres humains - N° 35 (2006)</i>			X	<a href="http://www.collegemv.qc.ca/fr/media/politique_et_reglement/pol_35_thique_recherche_avec_tres_humains.pdf">http://www.collegemv.qc.ca/fr/media/politique_et_reglement/pol_35_thique_recherche_avec_tres_humains.pdf</a>
Collège Shawinigan	<i>Politique n°30 sur la recherche (2004)</i>	X			<a href="http://www.collegeshawinigan.qc.ca/web/section/lecollege/Textes%20reglementaires/Pol%2030.pdf">www.collegeshawinigan.qc.ca/web/section/lecollege/Textes%20reglementaires/Pol%2030.pdf</a>
Vanier College	Ethics Guidelines for Research with Human Subjects (2000)		X		<a href="http://www.vaniercollege.qc.ca/acadean/policy/7210s15.pdf">www.vaniercollege.qc.ca/acadean/policy/7210s15.pdf</a>

*Note:* If your institution has adopted an institutional research policy and it does not appear in the above list, you can have it added by contacting ARC.

DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

APPENDIX 2A: TABLE SHOWING THE RESEARCH ETHICS AND INTEGRITY REQUIREMENTS OF THE MAIN FEDERAL FUNDING AGENCIES

(IN ORDER FOR AN INSTITUTION TO BE CONSIDERED ELIGIBLE TO ADMINISTER GRANT FUNDS)

FEDERAL FUNDING AGENCIES		Natural Sciences and Engineering Research Council of Canada (NSERC)	Social Sciences and Humanities Research Council of Canada (SSHRC)	Canadian Institutes of Health Research (CIHR)	Canadian Foundation for Innovation (CFI)
		<a href="http://www.nserc.gc.ca">www.nserc.gc.ca</a>	<a href="http://www.sshrc.ca">www.sshrc.ca</a>	<a href="http://www.cihr-irsc.gc.ca">www.cihr-irsc.gc.ca</a>	<a href="http://www.innovation.ca">www.innovation.ca</a>
ITEMS REQUIRED AND REFERENCE DOCUMENTS					
INTEGRITY	Policy on integrity in research and scholarship (including procedures for processing allegations of misconduct) ➤  <i>Tri-Council Policy Statement: Integrity in Research and Scholarship (NSERC)</i>	Prepare such a policy	Prepare such a policy	Prepare such a policy	
	Ethics policy on research involving humans (including ethics review procedures) ➤  <i>Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (PRE)</i>	Prepare such a policy	Prepare such a policy	Prepare such a policy	Sign an agreement and agree to comply with existing guidelines
ETHICS	Ethics of research on human pluripotent stem cells ➤  <i>Guidelines for Human Pluripotent Stem Cell Research (CIHR)</i>			Comply with the requirements	
	Ethics of research involving animals ➤  <i>Guide to the Care and Use of Experimental Animals (CCAC)</i>	Prepare a statement confirming that the college holds a Certificate of Good Animal Practice (GAP)		Comply with the requirements	Sign an agreement and agree to comply with existing guidelines

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

<p>Research involving biological risks</p> <p>➤  <i>Laboratory Biosafety Guidelines (PHAC)</i></p>	Prepare a statement confirming that the college agrees to comply with these policies		Comply with the requirements	Sign an agreement and agree to comply with existing guidelines
<p>Research involving the use of radioactive substances</p> <p>➤  <i>CNSC regulations, recommended procedures, and safety precautions</i></p>	Prepare a statement confirming that the college agrees to comply with these policies		Comply with the requirements	Sign an agreement and agree to comply with existing guidelines
<p>Research that can have harmful effects on the environment</p> <p>➤  <i>Canadian Environmental Assessment Act (CEAA)</i></p>	Sign a Memorandum of Understanding	Sign a Memorandum of Understanding	Sign a Memorandum of Understanding	Sign an agreement and agree to comply with existing guidelines
<p>Research in the Yukon, Nunavut and the Northwest Territories</p> <p>➤  <i>Ethical Principles for the Conduct of Research in the North (ACUNS)</i></p>	Prepare a statement confirming that the college agrees to comply with these policies		Comply with the requirements	Sign an agreement and agree to comply with existing guidelines
<p>Clinical trials</p> <p>➤  <i>Food and Drug Regulations and related policies and guidelines (SC)</i></p>				Sign an agreement and agree to comply with existing guidelines
<b>CHECKLIST OF DOCUMENTS REQUIRED FOR AN ELIGIBILITY REQUEST</b>	<a href="http://www.nserc.gc.ca/institution/checklist_e.htm">www.nserc.gc.ca/institution/checklist_e.htm</a>	Available upon request	<a href="http://www.cihr-irsc.gc.ca/f/805.html">www.cihr-irsc.gc.ca/f/805.html</a>	<a href="http://www.innovation.ca/programs/viewguide_f.cfm?guideid=236">www.innovation.ca/programs/viewguide_f.cfm?guideid=236</a>

APPENDIX 2B: TABLE SHOWING THE RESEARCH ETHICS AND INTEGRITY REQUIREMENTS OF THE MAIN PROVINCIAL FUNDING AGENCIES

ITEMS RECOMMENDED AND REFERENCE DOCUMENTS		PROVINCIAL FUNDING AGENCIES	Fonds québécois de recherche sur la nature et les technologies (FQRNT)	Fonds québécois de recherche sur la société et la culture (FQRSC)	Fonds de la recherche en santé du Québec (FRSQ)
			<a href="http://www.fqrnt.gouv.qc.ca">www.fqrnt.gouv.qc.ca</a>	<a href="http://www.fqrsc.gouv.qc.ca">www.fqrsc.gouv.qc.ca</a>	<a href="http://www.frsq.gouv.qc.ca">www.frsq.gouv.qc.ca</a>
INTEGRITY	<p>Policy on integrity in research and scholarship (including procedures for processing allegations of misconduct)</p> <ul style="list-style-type: none"> <li>➤  <i>Tri-Council Policy Statement: Integrity in Research and Scholarship Policy (NSERC)</i></li> </ul>	<p>General rule common to all three Quebec research funds concerned with scientific integrity (available at: <a href="http://www.frsq.gouv.qc.ca">www.frsq.gouv.qc.ca</a>):</p> <p>“Institutions, groups, research teams and researchers themselves must adhere to the most rigorous practices in the area of research ethics and scientific integrity. The host or managing institution is responsible for defining the regulatory framework of the research. Any conflict of interest that arises during the execution of research projects must be clearly reported to the managing institution and a copy must be sent to the Fonds de recherche.” [translation]</p>			
	<p>Ethics policy on research involving human beings (including ethics review procedures)</p> <ul style="list-style-type: none"> <li>➤  <i>Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (GÉR)</i></li> <li>➤  <i>Guide d'éthique de la recherche et d'intégrité scientifique (FRSQ)</i></li> </ul>	<p>It is the researchers' responsibility to comply with the <i>Tri-Council Policy Statement</i></p>	<p>It is the researchers' responsibility to comply with the <i>Tri-Council Policy Statement</i></p>	<p>Anyone involved in research is required to comply with the <i>Statement</i> and the Good Research Practices set out in the <i>Guide d'éthique de la recherche et d'intégrité scientifique</i></p>	
ETHICS	<p>Ethics of research on human pluripotent stem cells</p> <ul style="list-style-type: none"> <li>➤  <i>Guidelines for Human Pluripotent Stem Cell Research (CIHR)</i></li> </ul>			<p>The FRSQ recommends that REBs follow CIHR Guidelines when reviewing research projects involving human pluripotent stem cells</p>	

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

	<p>Ethics of research involving animals</p> <p>➤  <i>Guide to the Care and Use of Experimental Animals (CCAC)</i></p>	<p>It is the researchers' responsibility to comply with the <i>Guide</i></p>		<p>CCAC rules must be rigorously complied with</p>
	<p>Research involving biological risks</p>	<p>It is the researchers' responsibility to inform and train staff</p>		
	<p>Research involving the use of radioactive substances</p> <p>➤  <i>CNSC regulations, recommended procedures, and safety precautions</i></p>	<p>It is the researchers' responsibility to enforce these safety regulations, procedures and measures</p>		
	<p>Research that can have harmful effects on the environment</p>	<p>It is the researchers' responsibility to inform and train staff</p>		
	<p>Clinical trials</p> <p>➤  <i>Food and Drug Regulations and related policies and guidelines (SC)</i></p>			<p>The FRSQ recommends standard operating procedures (SOPs) in compliance with provincial and federal regulations and guidelines</p>
<p><b>FUNDING AGENCY RECOMMENDATION</b></p>		<p><b>The institution must promote the establishment of an institutional research ethics and integrity policy</b></p>	<p><b>The FQRSC has set up an ethics and scientific integrity board that recommends standards with which the scientific community must comply in this matter</b></p>	<p><b>It is up to the institution's board of directors to adopt a regulatory framework governing research ethics and scientific integrity</b></p>

## DEVELOPING AN INSTITUTIONAL RESEARCH PLAN

### APPENDIX 3: LIST OF CONTACTS AT FUNDING AGENCIES

FUNDING AGENCY		NAME AND TITLE OF THE CONTACT PERSON	TELEPHONE	EMAIL
<b>CANADA</b>	Natural Sciences and Engineering Research Council of Canada (NSERC)	Suzanne Provost General information on the procedure to follow or the requirements	613-996-7542	suzanne.provost@nserc.ca
		Marie Emond Integrity policy	613-992-0842	marie.emond@nserc.ca
		Hanan Abdel-Akher Ethics in research involving humans	613-996-2564	hanan.abdel-akher@nserc.ca
		Carole Crête-Robidoux Management of grants and awards	613-992-5596	carole.crete-robidoux@nserc.ca
	Social Sciences and Humanities Research Council of Canada (SSHRC)	Andrea Budgell Treasury Board Secretariat, Deputy Corporate Secretary (for information on the eligibility process)	613-992-0562	andrea.budgell@sshrc.ca
		Margaret Blakeney Access to Information and Privacy Coordinator, Ethics and Integrity	613-992-1058	margaret.blakeney@sshrc.ca
	Canadian Institutes of Health Research (CIHR)	Lynn Lepage Information Officer, Research Portfolio	613-954-1968	LLepage@cihr-irsc.gc.ca
Karen Wallace Ethics Policy Advisor, Research Ethics and Integrity		613-954-1383	kwallace@irsc-cihr.gc.ca	
Canadian Foundation for Innovation (CFI)	Suzanne Duval Coordinator, Institutional Relations	613-943-0318	Suzanne.Duval@Innovation.ca	
<b>QUÉBEC</b>	Fonds québécois de la recherche sur la nature et les technologies (FQRNT)	---		
	Fonds québécois de la recherche sur la société et la culture (FQRSC)	Benoît Sévigny Secretary of the Ethics and Scientific Integrity Board	514-864-1619	benoit.sevigny@fqrsc.gouv.qc.ca
	Fonds de la recherche en Santé - Québec (FRSQ)	Johane de Champlain Ethics Coordinator	514-873-2114 ext. 252	jdechamplain@frsq.gouv.qc.ca

APPENDIX 4: CONTACT LIST OF RESEARCH ETHICS ORGANIZATIONS

ORGANIZATION AND SERVICES RECOMMENDED		NAME AND TITLE OF CONTACT PERSON	TELEPHONE	EMAIL
CANADA	<b>Interagency Advisory Panel on Research Ethics (PRE)</b> <a href="http://www.ger.ethique.gc.ca">www.ger.ethique.gc.ca</a> - TCPS interpretation service, publication of answers to the questions posted on its website	Thérèse De Groot Principal Policy Analyst	613-996-1062	therese.degroot@ger.ethique.gc.ca
	<b>National Council on Ethics in Human Research (NCEHR)</b> <a href="http://www.ncehr-cnerh.org">www.ncehr-cnerh.org</a> - List of Canadian REBs - Information visit to institutions wishing to establish procedures for ethics review of research involving humans - Visit program to help REBs set up	Richard Carpentier Director General	613-233-5445	rcarpentier@ncehr-cnerh.org
	<b>Canadian Association for Research Ethics Boards (CAREB)</b> <a href="http://www.careb-accer.ca">www.careb-accer.ca</a> - List of Canadian REBs - Networking with other REBs - Represents the interests of Research Ethics Boards, of their administrators and members	Diann Nicholson Treasurer	---	diann.nicholson@iwk.nshealth.ca
QUEBEC	<b>Ministère de la Santé et des Services sociaux du Québec (MSSS) – Unité de l'éthique</b> <a href="http://ethique.msss.gouv.qc.ca">http://ethique.msss.gouv.qc.ca</a> - Inventory of REBs in the health and social services field - Information and support for people wishing to set up a REB - Organization of <i>Journées d'étude des comités d'éthique de la recherche et de leurs partenaires</i> - Training workshops on research ethics and scientific integrity for REB members and support staff (these workshops are also available online)	Claudine Fecteau (for questions about ethics and REBs)	514-913-7527	claudine.fecteau@msss.gouv.qc.ca
		Marie-Hélène Vachon (for questions about joint REBs, delegation and endorsement agreements)	418-266-8801	marie-helene.vachon@msss.gouv.qc.ca

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