TOOLKIT
FOR RCRC

Cynthia Noury, Marianne Cloutier, Marie-Christine Roy

**Summary of Issues in Responsible Conduct
in Research-Creation and Proposed Tools for Reflection**

TOOLKIT
FOR RCRC

As part of the Concerted Action of the Fonds de recherche du Québec
Responsible Conduct in Research-Creation:
Providing Creative Tools to Meet the Challenges of an Emerging Field

By
Cynthia Noury
Marianne Cloutier
Marie-Christine Roy

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La recherche-création responsable
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ABOUT

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REFERENCES

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TABLE
OF CONTENTS

SECTION 1
INTRODUCTION TO THE TOOLKIT

ACRONYMS
USED IN THE TOOLKIT

CAFAD
Canadian Association of Fine Arts Deans

RCC
Researcher-Creator

CC
Conflicts of Commitment

REB
Research Ethics Board

COI
Conflicts of Interest

RCR
Responsible Conduct of Research

RCRC
Responsible Conduct in Research-Creation

SSHRC
Social Sciences and Humanities Research Council of Canada

FRQ
Fonds de recherche du Québec

FRQSC
Fonds de recherche du Québec — Société et Culture

PRCR
Panel on Responsible Conduct of Research

Policy
FRQ Policy for the Responsible Conduct of Research (2014)

RC
Research-Creation

SRCR
Secretariat on Responsible Conduct of Research

INTRODUCTION
TO THE RESEARCH PROJECT ON RCRC

How the Project Began

In 2014, the Fonds de recherche du Québec (FRQ) adopted their Policy on *Responsible Conduct of Research* (1). The following year, they launched a "Concerted Action" grant competition to develop understanding of the issues and challenges of applying the Policy in the specific context of research-creation (2). It is thanks to this funding that our team—comprised of researchers from the fields of Responsible Conduct of Research (RCR) and Research-Creation (RC)—was able to initiate this exploratory research project in collaboration with the FRQ. To our knowledge, this is the first time these two themes have been treated jointly, hence our coining of the term "Responsible Conduct in Research-Creation" (RCRC).

Promoting Dialogue Between RCR and RC

Beyond policies, however, a concrete articulation between these two spheres and their respective interests and concerns remains difficult. Indeed, the research carried out within the context of this project has shown that RCR has struggled to take into account the specific characteristics of RC practices and, conversely, ethical considerations in research produced by the RC community rarely refer to RCR concepts, or do so only indirectly. The main goal of this project was thus to promote and strengthen the emerging dialogue between RCR and RC. That is why we chose to use the term "Responsible Conduct in Research-Creation" or RCRC.

"How do researcher-creators understand integrity and research ethics?"

– Head of RCR

USING THE TOOLKIT
AND ITS TOOLS FOR REFLECTION

Who This Toolkit Is For

This Toolkit was created first and foremost for the Québec and Canadian but also the international RCR and RC communities. Although situations will vary from one research context to another, several granting agencies, particularly in Québec and Canada, have policies that support RCR. If you have received funding for a research or research-creation project, your activities are likely governed by one of these policies (e.g., that of your institution or of a research fund). Their main objective is to promote a principled and ethical conduct of research activities, as well as the prevention and/or management of potential breaches of RCR that may emerge in this process (i.e., conflicts of interest, plagiarism, redundant publication). This Toolkit also aims to support RCR stakeholders who wish to increase their understanding of RC and its unique characteristics.

"What impact can responsible conduct policies have on my creative research projects?"

– Researcher-creator
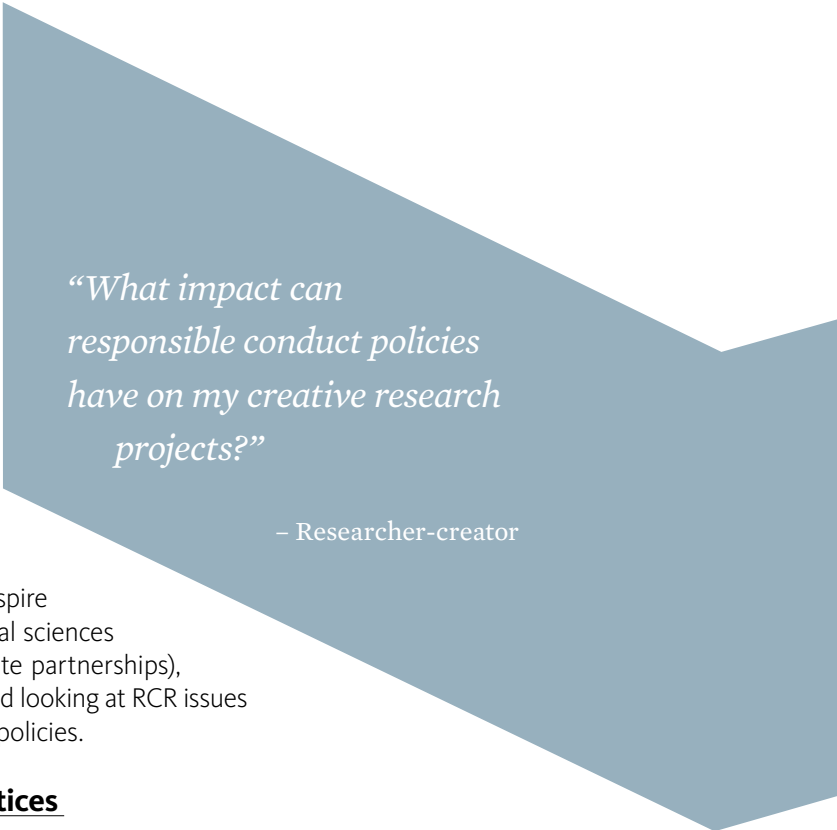
The approach used in the creation of this Toolkit may also inspire actors in other research sectors (e.g., health sciences, natural sciences and technology) and contexts (e.g., college, public or private partnerships), since it has the unique quality of reversing the perspective and looking at RCR issues from the context of specific research practices, rather than policies.

Looking at RCR from the Perspective of RC Practices

Our research project is exploratory in nature, so the purpose of this document is not meant to be overly prescriptive. Rather, its purpose is to help create a dialogue between the various actors involved in RCR and RC by exploring the gray areas of RCRC. The first aim is to introduce the connections and points of friction linking these two spheres through themes (conflicts of interest, dissemination, evaluation, etc.) identified in the context of our project, then deepen our knowledge by proposing to both communities some paths for further discussion. This project was conducted in partnership with the two communities at all stages of the research (see the Introduction to the methodology in *Section 4*), and is intended to reverse the trend of viewing RCR solely from the perspective of policies. Instead, its approach is from the point of view of the issues encountered in specific RC practices.

How to Use This Accompanying Guide and Its Tools for Reflection

This Toolkit is based on various research activities carried out by our team between 2016 and 2018 with the RCR and RC communities. **An overview of the project's objectives, data sources and methodology is presented in *Section 4* of the Toolkit.**

The Toolkit is comprised of four main sections, which can be used independently or as a complement to one another. Each of the proposed tools is designed to be detachable from the Toolkit.

SECTION 1
INTRODUCTION TO THE TOOLKIT

This section provides the context for the Toolkit, including:
> an overview of the acronyms used;
> an introduction to the RCRC research project;
> how to use the Guide and Tools for Reflection.

SECTION 2
ACCOMPANYING GUIDE IN RCRC

Summary of issues in RCRC identified in the research project.

Following the introduction and the context of the project, the main themes of RCR are organized into three sections, reflecting our specific research objectives:
> **conflicts of interest and commitment**;
> **dissemination** (including knowledge transfer, authorship and data management);
> **evaluation** (including funding).

A fourth section discusses the issues that emerged from the analysis, that is:
> **the relationship between RC practices and research ethics**;
> **training and student supervision in RC**.

SECTION 3
TOOLS FOR REFLECTION IN RCRC

Tool 1 > RCRC Checklist
Questions and practical considerations for RRCs to promote RCRC.

Tool 2 > Summary of Recommendations
Summary of institutional recommendations to promote RCRC.

Tool 3 > RCRC Case Studies
RC case studies of the main breaches in RCR.

Tool 4 > Podcast Discussion on COI and CC in RC
Podcast discussion on conflicts of interest and of commitment in RC.

SECTION 4
ADDITIONAL INFORMATION

This section provides additional information in support of the previous sections:

> an overview of the project objectives, data sources and methodology;
> an overview of the integration of RC into RCR policies;
> an overview of the results of our international survey in RCRC;
> references to all the texts cited in the Toolkit.

SECTION 2

ACCOMPANYING GUIDE IN RCRC

INTRODUCTION
TO THE GUIDE

This Guide is designed to assist readers—from both the Responsible Conduct of Research (RCR) and Research-Creation (RC) communities—in establishing a dialogue to explore the gray areas of what we have chosen to call "Responsible Conduct in Research-Creation" (RCRC). After introducing these two areas, it will explain the points of convergence and friction identified in our research project. It also offers paths for further reflection for researcher-creators and institutions to promote RCRC. Beyond the differences of vocabulary and perspectives observed between the two communities, this undertaking has revealed numerous overlaps and a desire for collaboration on the part of RCR and RC stakeholders. In order to further the development of RCRC, the promotion and consolidation of a dialogical and reflective approach linking these two areas is thus warranted.

1. CONTEXT
THE BASIS FOR A DIALOGUE IN RCRC

1.1 RCR — INTRODUCTION TO RESPONSIBLE CONDUCT OF RESEARCH

WHAT IS RESPONSIBLE CONDUCT OF RESEARCH (RCR)?

Responsible Conduct of Research (RCR), as implemented by the FRQ, encompasses both the concepts of **research integrity** and **research ethics** (1). RCR generally refers to the expected behaviour of researchers and other research stakeholders in the pursuit of their activities.

Since the 1990s, various mechanisms have been established in North America to support RCR. Initially, they were heavily focused on challenges raised in the biomedical field, and had to do with research ethics (i.e., ethical review of research protocols) and issues of integrity and misconduct. There was also a movement to bring together the ethics and integrity of research

"I'm confused. Why not just talk about ethics?"

– Researcher-creator

RESEARCH INTEGRITY

Research integrity can be defined as "the coherent and consistent application of values and principles essential to encouraging and achieving excellence in the search for, and dissemination of, knowledge. These values include *honesty, fairness, trust, accountability, and openness.*" (3)

In the academic and policy literature, the term *scientific integrity* is often used as a synonym for *research integrity*.

RESEARCH ETHICS

Research ethics standards "are primarily concerned with the deontological approach governing the behaviour of researchers, students and research personnel regarding the respect and protection of human participants and animals used in research". (1)

In Canada, these standards are described in the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS2) (4) and overseen by institutional research ethics boards (REBs).

under the broader name of RCR, both in governance documents and in administrative procedures, as the two areas are inextricably linked. Indeed, the promotion of ethical research practices necessarily implies the integrity of research.

In the United States, RCR is now governed by mandatory training, institutional policies, procedures to address RCR breaches, and the creation of national bodies, such as the Office of Research Integrity (ORI), to lead investigations and punish misconduct. In Canada, the approach is more focused on establishing normative frameworks such as the *Tri-Agency Framework: Responsible Conduct of Research* (5), supported by the Panel on Responsible Conduct of Research (PRCR) and the Secretariat on Responsible Conduct of Research (SRCR). In Québec, there is the FRQ's *Policy for the Responsible Conduct of Research* (1), as well as related institutional policies. One of the challenges for RCR is to remain current and adapt to the emergence of new approaches in research, such as RC or collaborative research, as well as in methodologies, and in methods for reporting and disseminating knowledge.

RESPONSIBILITY FOR THE APPLICATION OF RCR POLICIES

RCR is a shared responsibility between multiple levels of actors, ranging from grant funders to researchers to their home institutions. In Canada, RCR is governed by different levels of policy—federal, provincial and institutional—and also aligns with international frameworks. Institutions wishing to receive funding for research or research-creation have a contractual obligation to demonstrate that they have implemented such a policy, and many of them employ RCR officers. **An overview of some of these policies regarding their integration of RC is presented in *Section 4* of this Toolkit.**

These considerations aim to support researchers in the development of their research and to build public confidence in their work. The various policies put in place also aim to equip the organizations concerned, by giving them the means of prevention and intervention in cases of misconduct. There are two trends on the international scene: a punitive approach that leads to the sanctioning and criminalizing of cases of RCR breaches, and an awareness-raising approach through the promotion of research best practices (6). The second approach is generally favoured in Canada.

"In my experience, coaching is a winning approach to facilitating RC projects. It's like saying: how can we go about it together?"

– Researcher-creator

THE RCR POLICY OF THE FRQ

In 2014, the FRQ published its first *Policy for the Responsible Conduct of Research* (1) which came into effect in September 2015. The Policy applies to all institutions, researchers and personnel whose research is funded by the FRQ. Its three main components are promoting RCR best practices, identifying potential breaches of RCR, and clarifying expectations and responsibilities for the process of managing allegations. Best research practices:

> [are] based on values such as honesty, reliability and rigour, objectivity, fairness and independence, justice (especially in recognizing the contributions of others), trust, accountability and benevolence, openness and transparency. All actors within the research community (researchers, awardees, research personnel, fund managers, research institutions, funding agencies) must adopt and defend these values while conducting research activities, regardless of their discipline. The common denominator of research in any discipline is the quest for knowledge through peer-recognized (or in the process of becoming so) methodological approach specific to the discipline in question. (1)

The objective of these values, therefore, is the integrity of the research process itself, regardless of its epistemological position, rather than adherence to a specific vision of research. This facilitates the connection with RC, although the process remains complex.

BREACHES OF RCR AND THEIR MANAGEMENT

In the Canadian context, the most commonly reported breaches of RCR are the fabrication or falsification of data, plagiarism, destruction of research records, redundant publications, invalid authorship, inadequate acknowledgement, mismanagement of conflicts of interest, misrepresentation in a grant application, mismanagement of funds, or violation of research policies, laws or regulations (1,5). **These breaches of RCR are detailed and supported by examples in the RC case studies presented in *Section 3* of the Toolkit.**

11

An organization or individual—a colleague, for example—who believes that a researcher is adopting research practices that may constitute a breach of RCR may submit a complaint to their home institution or to the granting body. If it is determined to be admissible, a committee will examine the allegation on a case-by-case basis, following a formal process, to determine whether or not the situation is a breach of RCR and decide appropriate sanctions. At the Canadian level, the SRCR provides an annual report of sanctioned breaches of RCR (7).

Moreover, as specified in the FRQ Policy:

> Many factors must be taken into account in determining just sanctions, including the intentionality of the breach of responsible conduct of research, its severity and impact, the context in which the breach occurred or its repetitive nature. The institution may impose measures aimed at increasing relevant training for research actors, repairing harm caused or correcting the scientific record, if applicable. (1)

Indeed, breaches of RCR are not necessarily intentional: they can result from a series of shortcuts taken by an individual as part of their research, which progressively leads the person down a slippery slope towards problematic behaviours. The adoption of a proactive and transparent attitude, as well as a continuous reflexive view of the research process, are key elements in preventing breaches of RCR.

1.2 RC — INTRODUCTION TO RESEARCH-CREATION

WHAT IS RESEARCH-CREATION (RC)?

In Québec, discussions about the integration of art and artists in the academy are in large part the result of the *Commission d'enquête sur l'enseignement des arts au Québec* [Commission of Inquiry on Arts Education in Québec], from 1966 to 1969, and the subsequent merger of the École des Beaux-Arts de Montréal and the École des Beaux-Arts de Québec with UQAM (1969) and the Université Laval (1970), respectively (8-11). These discussions about the link between research and creation were further intensified with the creation of the first graduate-level research-creation programs, notably a PhD program in "Études et pratiques des arts" [Studies and Practices of the Arts] at UQAM in 1997. A similar phenomenon was observed elsewhere in Canada and internationally, for example, in the 1990s in Anglo-Saxon countries, and in the early 2000s in France.

To continue with the example of Québec, the FRQ played a leading role in the recognition of this new research approach. The fund dedicated to society and culture (FRQSC) was one of the first, in the 1990s, to have research funding envelopes specifically dedicated to creation, and to try to define this practice, notably with the collaboration of actors in RC and RRCs. It was also at this time that the term "research-creation" was formalized in Canada, gaining primacy over terms such as "research creation" (without a hyphen), "research and creation" and "artistic research".

Although the various definitions of RC remain a subject of active debate in light of the specific prac-

tices of RRCs, or the choice of the term "creation" and its scope, the definitions used by the Fonds de recherche du Québec — Société et culture (FRQSC) and the Social Sciences and Humanities Research Council of Canada (SSHRC) are key in the Canadian context, as they influence what will be recognized and funded as a RC project:

RESEARCH-CREATION (FRQSC)

"The Fonds uses the term research-creation to designate any research process or approach that fosters creation and aims at producing new esthetic, theoretical, methodological, epistemological or technical knowledge. All of these processes and approaches must include, to varying degrees (depending on the practices and temporalities specific to each project): 1) Artistic or creative activities (design, experimentation, production, etc.) AND 2) The problematization of these activities (critical and theoretical analysis of the creative process, conceptualisation, etc.)." (12)

RESEARCH-CREATION (SSHRC)

"An approach to research that combines creative and academic research practices, and supports the development of knowledge and innovation through artistic expression, scholarly investigation, and experimentation. The creation process is situated within the research activity and produces critically informed work in a variety of media (art forms). Research-creation cannot be limited to the interpretation or analysis of a creator's work, conventional works of technological development, or work that focuses on the creation of curricula." (13)

RC thus allows for a double problematization of research and creation, the resolution of which involves both a theoretical discussion and a creative component that can take various forms (e.g., a film, an exhibition, a concert, a series of performances, a collaborative art project). An important part of the RC approach is the demonstration of the connection between these two components through this process. RC approaches can be drawn from several fields, including visual, media and performance arts, and even creative writing, film, architecture, music, communication and design, to name but a few. The proposed RC approach is thus likely to vary according to the specific practices of RRCs. **Several examples of RC projects are included in the case studies presented in *Section 3* of this Toolkit.**

"How did artists become part of the university?"

– Head of RCR

INTERNATIONAL CONTEXT AND ISSUES

The emergence of approaches that combine research and a creative component—some employ the terms *arts* and *sciences*, or *theory* and *practice*—is not unique to Canada. A similar phenomenon is also underway in other countries. Depending on the location and the theoretical and creative trends, the terms used include *artistic research, practice-based research, practice-led research, practice-as-research, studio-based research, performative research, performance as research*, etc. Each of these visions proposes nuances, some of which are very subtle, especially with regard to the link between theory and creative or artistic practice (14).

The literature describes the epistemological and ontological issues related to these new forms of knowledge production, the types of knowledge produced, their location (in the artefact, the event, the textual component, etc.), their method of dissemination (in the sphere of art, entertainment, seminars and scholarly publications, etc.), the form of writing used (argumentative inspired by the hypothetico-deductive model, drawn from the narrative, evocative, sensitive, poetic, etc.), methodological aspects (borrowed from the humanities and social sciences, artistic practice or specific to RC), and finally the determination of their value for both funding and graduation (14). **Several of these topics will be further elaborated in *Point 2* of the Guide, as they relate to considerations in RCR.**

EXAMPLE OF A RC PROJECT
To challenge the psychological and social dynamics through the creation of a public interactive art installation.

The poster illustrating the results of our literature review on issues relating to RCR in RC won the Groundbreaking Contribution Award at the 5th World Conference on Research Integrity (WCRI). (15)

In Québec and Canada, several of the practices mentioned above are frequently grouped under the term "research-creation" by authors, without necessarily describing its specificities. The use of this term, as well as the related status of "researcher-creator" (sometimes *artistic researcher*), is also unique to Canada, although these terms are occasionally borrowed elsewhere. Despite the relatively recent emergence of RC, and the work still needed to fully integrate it into the universities, Canada is at the forefront, internationally, in terms of training, funding and the institutional supervision of RC, particularly from the point of view of RCR and ethics. That being said, publications on RC are relatively few in number. In addition to the poster on the literature review in RCRC produced by our team (15), **other references on RC and RCRC are proposed in *Point 3* of the Guide.**

2. SUMMARY
OF ISSUES IN RCRC

2.1 RCRC — CHALLENGES WHEN RCR AND RC MEET

IN A FEW WORDS...

The RC community has been asking itself whether it is possible to apply RCR principles to creative practices without compromising these or limiting artistic expression. Conversely, the RCR community wants to take into account the unique features of RC, but in most cases its tools are not ready to be applied to this field of practice. The emerging dialogue between RCR and RC would benefit greatly if the meaning of "research" and "responsibility" could be clarified in both areas. This would allow for a more open and nuanced understanding. Therefore, it is important to begin the discussion of RCR as it relates to the specific context of RC. We have chosen to call this discussion "Responsible Conduct in Research-Creation" (RCRC).

LIMITED PREVENTION AND INTERVENTION TOOLS FOR RCR MANAGERS

As discussed in *Point 1.1*, most institutional RCR policies were conceived and developed in a research context in which potential breaches of RCR (e.g., plagiarism or authorship) are relatively well defined. However, the expansion of research practices has undermined some of the very elements that define the field. For example, in the case of RC, what constitutes plagiarism in relation to specific artistic practices as opposed to a particular creative aesthetic (e.g., remix or sampling)? How does one effectively recognize the participation of RC collaborators in co-creation projects? Etc.

Moreover, the almost complete absence of mention of RC in these policies limits the ability of RCR managers to take into account RC's unique characteristics, whether in the area of prevention or investigation of alleged breaches of RCR. **The review of RCR policies carried out by our team regarding their integration of RC is presented in *Section 4* of the Toolkit.**

UNIQUE CHALLENGES OF RCR IN RC

The literature review conducted at the beginning of the project highlighted the fact that RRCs face RCR issues that are very different from those of other researchers—on the one hand because traditional issues take on a specific meaning in RC, and on the other because new issues emerge, particularly in relation to the nature of RC projects or the posture of RRCs. Thus, among the 181 articles that were the subject of our preliminary analysis, the most common issues raised were those relating to the nature of RC (36% of the extracts coded), the posture of RRCs (22%), and challenges related to RC training (16%). RCR themes such as knowledge transfer (12%), RC project funding (12%), and conflicts that could emerge through RC practice (2%) appeared less frequently in the extracts coded (16). **These themes will be discussed in greater detail in the *Subsequent Points* of the Guide. An overview of the project objectives, data sources and methodology are presented in *Section 4* of the Toolkit.**

One of the observations drawn from the literature review is that keywords in RCR are little used by the RC community, even when dealing with common issues. A similar language barrier was observed in the discussion group and the workshop. This gap seems to support the notion that RCR is disconnected from the reality of RC, and vice versa. These preliminary results underscore, once again, the need to develop RCRC tools accessible to all and to increase efforts to facilitate dialogue between these two areas.

MUTUAL MISTRUST BETWEEN RCR AND RC

Through this research project, we gathered the perceptions of the RCR and RC communities in relation to each other, and in several contexts. In general, matters of integrity tended to be quickly dismissed in favour of those related to research ethics, which were often considered more problematic by RRCs, particularly because of difficult past experiences with research ethics boards (REBs). Moreover, there is still significant confusion regarding the link between these two branches of RCR—i.e., integrity and research ethics—which hinders exchanges with RRCs.

Thus, when interviewed in person, the RC community remained rather suspicious of RCR, more specifically of research ethics, and thus focused on defending the distinctiveness of the approach and of the creative component in RC. In general, the complex relationship between the ethical, aesthetic and legal considerations (e.g., image rights) of research was emphasized. In the absence of adequate support, many fear that the cumbersome nature of certain policies or bureaucratic excesses will thwart creative projects.

Several questions arose as a result of discussions about the relationship between RCR and RC: Are these two fields irreconcilable? If so, should RC be exempted from current expectations of research ethics? Should RCR in RC be differentiated so as to take into account conceptions of integrity and ethics specific to each creative practice? This third option seems to be preferred, as several RCR representatives said they were looking for a "path between these two worlds that would allow RRCs to adhere to RCR". This transition would occur in particular by moving away from a rigid and punitive view of RCR towards a more positive approach based on the clarification of issues specific to each RC practice (notably by the RRCs), support, training, and the creation of pertinent tools. Several RCR managers also admitted that their understanding of RC—or that of their home institution—was not sufficiently developed to provide adequate support. **Data from the international RCRC survey—including the perceptions of these two communities— are presented in *Section 4* of the Toolkit.**

"RESPONSIBLE" CONDUCT OF RESEARCH, BUT TOWARDS WHOM AND FOR WHAT ENDS?

The notion of "responsibility" was also questioned several times during these conversations. To whom or for what are RRCs responsible? From the perspective of RCR, there are several levels of responsibility: personal, in relation to the researcher themself; individual, in relation to the participants of the research; as well as civic and social, once we consider the potential effects of research and creation. Some RRCs argue that responsibility in RC can also be situated at the level of the creative work and its production, which would add some form of accountability to the integrity of the RC process. **This topic will be discussed in greater detail in *Subsequent Points* of the Guide.**

"Is there any room for provocative, unconventional or even punk art at the university?"

– Researcher-creator

"RC requires an ethical vision and cannot, in this sense, be exempted from ethical standards. We must find common ground."

– RCR Manager

RCRC
CHECKLIST

FAMILIARITY WITH RCR

> **Am I familiar with the concepts and terms pertaining to RCR, including integrity and research ethics?** Have I read the standards and policies provided by my institution or the organizations funding my project?

RCR, as it is described in this Toolkit, encompasses both the concepts of research integrity and research ethics. It generally refers to the conduct that is expected of researchers and other research actors in the performance of their activities. In particular, RCR addresses "best practices" in collaboration, authorship, use of data, publication, dissemination and evaluation of research, as well as the responsible use of the funding received, the respect of applicable policies, and the management of conflicts of interest and of commitment.

Consequently, among the "breaches" of RCR we find: fabrication or falsification of data, plagiarism, destruction of research records, redundant publication, invalid authorship, inadequate acknowledgement, mismanagement of conflicts of interest, misrepresentation in a grant application, mismanagement of funds, and the violation of policies, laws or regulations governing research.

These aspects of research are framed by provincial (e.g., FRQ), federal (e.g., SRCR), international and institutional RCR policies. Several institutions also have a designated RCR officer.

> RCR is based in particular on the notion of "responsibility". **What is my view of personal responsibility regarding my RC practice in relation to others, and from a civic, social, and creative perspective?** How do these different levels of responsibility fit into this specific project?

INSTITUTIONAL
RECOMMENDATIONS

DIALOGUE BETWEEN RCR AND RC

> Promote more opportunities for dialogue between the RCR and RC communities to strengthen mutual understanding.

CONSOLIDATION OF RCRC

> Facilitate dialogue and discussions that jointly address research integrity and research ethics within RCR, rather than separately.

> Train and equip RCR and REB officials on RC and its specific issues, in collaboration with RRCs.

> Focus more effectively on supporting RRCs in taking into account RCR policies, particularly through a more positive approach that is focused on dialogue, collaboration and the clarification of the issues specific to each RC practice and project. This also implies that more resources be devoted towards this kind of support.

ADAPTATION OF POLICIES AND ACCESSIBILITY

> Reinforce the consideration of creative practices in RCR policies and clarify the specificities of RC in this context, where relevant.

> Systematically include RRCs or RC specialists on evaluation committees when allegations of breaches of RCR involve RC practices.

> When this is not the case, make RCR policies more easily accessible on the websites of institutions and universities, and develop training tools on RCR and RCRC for researchers and students.

2.2 SPECIFIC ISSUES IN RC

DEFINITION, POSTURE AND QUALITY

IN A FEW WORDS...

This issue points to the challenges that arise in RC and how they are perceived in RCR. The focus is on divergent views of the definition and quality of RC, as well as issues of posture faced by RRCs in their respective practices. Subsequent points will explain how these characteristics affect all RCRC issues and thus become essential elements that must be taken into account to facilitate dialogue between RCR and RC.

DEFINITION

Context

Although the definitions of RC proposed in the Canadian context are generally well received, as shown in the international survey of respondents from 59 countries (see *Section 4* and *Point 1.2*), there is still a general lack of consensus on the definition of RC when it comes to concrete practices. Indeed, the perception of RC would seem to vary depending on the context, the specific practice, and the RRC. This influences the desired modalities for integrating "*creation*" into the university and, subsequently, the perception of RCR and its application.

"The definition of RC can be described as a polysemy; it does not have a fixed typology."

– Researcher-creator

A Polysemy Giving Rise to Divergence

Based on the comments gathered from participants in this project, we should be careful not to (over)define RC, since it is meant to be pluralistic and dynamic. RC can vary over time, but also according to the practice or set of specific practices to which the RRC or their project relates. Furthermore the creative, methodological and epistemological approach adopted may also alter what is expected of the RC process. These nuances are more readily apparent in English, where several terms are used to describe the possible ways that research and creation may be linked (see *Point 1.2*). There is also some debate as to what actually constitutes (or does not) a RC approach, in comparison with similar endeavours that bring together research and creation. Given its polysemous nature, the definition of RC thus raises issues of comprehension and is, as a result, subject to re-appropriation in various contexts, particularly during the peer-review process. Two tendencies are here juxtaposed, namely, the propensity to over-define RC versus not defining it at all.

Friction Between RCR and RC

The fact that there is no consensus on the definition of RC is one of the determining factors of a number of issues in RCRC. The various visions of RC influence the type of linkage that is expected between research and creation in an academic context. This difficulty in connecting research and creation is also reflected in the results of the international survey (see *Section 4*). For example, some defend the view that the work speaks for itself (it is the research), while others believe that it must be accompanied by an exegesis as a place for the production of academic knowledge. This influences debates on what should be financed or not, who should evaluate these projects and according to what criteria, and finally on what should be taught in any future training in RC. The issues of research integrity and ethics are also differentiated according to the variety of RC practices. For example, we may find more issues pertaining to research ethics in the manipulation of living organisms in bio-art, and discussions about how to attribute authorship in collaborative practices such as co-creation.

Summary

Beyond a single definition, there are several variations of RC, notably in relation to the specific practices adopted by RRCs. Taking this diversity into account would make it easier to link RC and RCR through more nuanced scenarios. To achieve this, both communities must first share a vision of RC as being pluralistic and evolving, and then participate in a dialogue about RCRC specific to each project. Several paths present themselves. Some RRCs, for example, suggest discarding a fixed view of RC and substituting it with a definition by criteria, which would be established by the community. Others suggest adopting a comprehensive vision of RC based on specific RRCs' practices rather than a single definition. These RRCs assert that such approaches should nevertheless incorporate certain limits in order to determine what belongs to the field of action of RC. The creation of a web database, listing a variety of RC projects—including approaches, methodologies, production methods, etc. that are mobilized for each—was also put forward. Due to the lack of resources to implement these tools in the short term, a "community and dialogical" approach should be supported. In sum, it is the specific projects and practices that should be involved in delineating RC and, therefore, guide reflection on RCR rather than the other way around.

It is also important to note that this research project did not aim to define RC—which would be a huge undertaking in itself—but rather to identify its specificities as they relate to RCR. It was beyond the scope of our project to undertake such a thorough reflection aimed at situating the various RC practices relative to each other, or relative to RCR. **External resources that encourage the continuation of this discussion are nevertheless proposed in *Point 3* of the Guide.**

"It is not just the institutions that determine the parameters of RC, but also the researchers who re-appropriate the definitions during the evaluation process."

– Researcher-creator

> *"To better understand RC, it is essential to document what is done, how it is done, by whom and with what specific issues."*
>
> – Researcher-creator

POSTURE

Context

The fact that researcher-creators (RRCs) are considered both as researchers and creators leads to the requirement of a dual expertise that can prove conflictual. In addition to complicating the integration of RRCs in the academic world, this tension can also affect how they perceive RCR issues and respond to institutional policies.

Double (or Triple) Posture of the RRC

A dual expertise that combines creation and research would be common, even expected and valued, among RRCs, especially in the context of funding programs. This requires dual training, and raises expectations in terms of academic and artistic or creative excellence. But this can also give rise to a real or apparent conflict between research and creation, namely when creative activity may appear to hinder the production of academic knowledge, or vice versa. As illustrated by adages frequently heard in the field—"good researchers make bad artists", or "only failed artists need a PhD"—research is perceived by some as diminishing artistic production and recognition.

Moreover, multiple perceptions of the figures of the "creator", the "artist", and the "researcher" co-exist, as well as of the articulation between these postures. This leads some to question the designation of "researcher-creator" (RRC). This term will nevertheless be used throughout the Guide to ensure clarity. Others also propose to add a third posture, that of professor (e.g., in the case of "A/r/tography"). According to the participants in the project, this multiplicity of postures can create personal and ethical discomfort, even confusion, as a result of conflicting or incompatible obligations and expectations. These postures can also be difficult to reconcile from an identity and social point of view.

Influence of Specific Practices

A second level of considerations and issues relating to posture is raised by the unique characteristics of each RC practice. This further distinction makes room for the intentions of each RRC in relation to their specific approach and, at the same time, influences their perception of RCR issues. For example, collaborative creative projects can raise further questions about the emotional involvement and vulnerability of participants, power relations, and the position of the RRC. Approaches in RC involving collaborators from different backgrounds sometimes lead to conflicting disciplinary cultures, while those focused on innovation must, in some cases, contend with market pressure. The RC approach can also be embodied by an individual—the RRC—or within a collaborative project.

> *"I'm not comfortable with the designation of 'researcher-creator'. Why would I be more of a researcher than an artist?"*
>
> – Researcher-creator

"Should we try to bring all artists working in universities to the level of researchers or rather accept that the two cultures co-exist?"

– Researcher-creator

Friction Between RCR and RC

The reconciliation between the postures of researcher and creator remains difficult within the academy, particularly because of a boundary between research and creation that is blurry and often difficult to locate. The failure to reconcile these two postures leads, according to some, to the co-existence—sometimes with difficulty—of two cultures of practice and validation within the university. The relevance and the "cost" of this double expertise are sometimes called into question by people who identify as RRCs, or by artists who have been made to join the ranks of the university—in particular, following the merger with the *Schools of Fine Arts (see Point 1.2)*—without necessarily wanting to devote themselves to research. In some cases, a rejection of research activities in favour of artistic practice may also be expressed by a greater reluctance to follow institutional policies. The challenges relating to posture are also a determining factor in the prevalence of conflicts of interest and commitment. **This aspect will be discussed in more detail in *Point 2.3* of the Guide.**

Summary

In sum, the dual posture of RRCs is driven both by the expectations associated with RC and influenced by the professional path, practices, and creative intentions of the RRCs. This diverging posture also shapes the perception of the issues in RCR. For example, collaborative creation can raise more questions at the level of authorship, while creation focused on technological innovation may be more likely to generate conflicts of interest if the research is subject to commercial pressure from financial partners. These issues can be partially mitigated through better institutional recognition of the multiple levels of expectation towards RRCs, the development of a "responsible" self-reflective posture by RRCs with regard to their approach to RC, and the development of a collaborative culture that takes into account the visions, interests, and role of each partner.

QUALITY

Context

The "quality" of what is sought through the process of RC seems in turn to be influenced by the characteristics of the practices, approaches and postures adopted by RRCs.

Why Create?

Some participants in the project assumed the posture of the artist and described art as "a way of bringing a problem into the world by pushing its limits", rather than standing away from it. From this perspective, an important part of creation would potentially imply nonconformity—for example, seeking to push back against academic guidelines, or to innovate, especially by developing new discourses, materials and techniques.

Thus, depending on the posture that is adopted, a RC approach can aim to challenge, to undertake social action, collaboration or, in some cases, commercialization. These approaches sometimes seek to enhance their visibility to create a more powerful effect, or inversely, their invisibility to blend in with their environment. Some practices take the form of an artefact, while others are more focused on the

creative process or performance acts. Through these few examples, we can see that creative approaches can pursue several goals, even some that are diametrically opposed, which are expressed according to specific RC practices. As a result, linking these creative practices to "research" can be achieved in a variety of ways.

Friction Between RCR and RC

Several points of friction between RCR and RC are likely to emerge with regard to the issue of quality, especially between the normative or conformity aim of institutional policies and the various aims pursued by RRCs (transformation, protest, collaboration, etc.). The fixed nature of supervision and evaluation in RC may also create friction with the procedural, unpredictable or sensitive dimension of creation. Research and funding streams may also tend to constrain the multifaceted nature of various creative projects. Finally, issues might arise that are related to collaboration, given the potential difficulties in reconciling different disciplinary perspectives within a common RC project.

Summary

In order to reflect this diversity of practices, postures and intentions, the different objectives pursued by RC and the RRCs should be taken into account when evaluating their projects, as well as problems encountered in RCRC, if appropriate.

SYNOPSIS...

To sum up, according to members of the RC community, attempts to define RC should be replaced by more holistic and practice-oriented approaches. This would allow for a discussion of RCRC that is contextual and arising from these practices, rather than the other way around. Issues of posture, for their part, emerge mainly at two levels, namely in the articulation between activities related to research and creation within the role of the RRCs, and as a result of the specific RC practices pursued. The posture adopted by RRCs in turn influences quality, that is, what is sought through RC.

Consequently, the issues of definition, posture and quality raise several challenges for RCR, in addition to giving them a twist that is specific to RC. The dual posture of RRCs—some might say triple, with the added role of professor—is likely to generate conflicts of interest and commitment due to the lack of clarity or the increased number of expectations in their regard. The difficulties in reconciling these multiple areas of expertise also affect expectations about training. Further, the combination of research and creation activities within RC calls into question the methods of dissemination and evaluation of these projects, while their heterogeneous nature increases collaborations and sources of financing necessary for their realization, thus giving rise to issues of authorship, in addition to other potential tensions and conflicts. **These topics will be discussed in greater detail in the Subsequent *Points* of the Guide.**

> *"Art makes it possible to bring a problem into the world by pushing its limits. Its aim is transformation."*
>
> – Researcher-creator

RCRC
CHECKLIST

IDENTIFYING ISSUES IN RCRC

Since they are influenced by the uniqueness of the various practices in RC and the posture of the RRC, the issues in RCR can be more easily identified when they are considered from a specific context or project.

> **What are the issues, especially those in RCR, specific to my RC practice or in this particular project?** Am I able to identify them? To connect them to a particular creative or ethical posture? And prevent or manage these issues when necessary?

> **Would I be able to communicate this notion and this posture to an RCR officer, for instance?**

SELF-REFLECTIVE LOOK AT PRACTICES

Whether individual or collective, an on-going self-reflective look at the RC approach is necessary to better identify the responsibilities of the various actors and to prevent potential breaches of RCR.

A CULTURE OF COLLABORATION

Cultivating a culture of collaboration that takes into account the visions and interests of each project partner—as well as their evolution—can help prevent or resolve some issues that arise in RCR.

FACILITATING DIALOGUE ON ISSUES SURROUNDING RCRC

Given the diversity of approaches in RC, many stakeholders in the RCR community have expressed an interest in being coached towards a better understanding of RC. In my interactions with them, it can be beneficial to:

> situate my practice and its characteristics in relation to the more general field of RC, or within the creative or theoretical approaches it draws upon;

> specify the aims and expected results of my RC project, as well as certain elements to be considered during its evaluation;

> highlight the issues encountered in RCR, as well as their characteristics in the given context of RC.

INSTITUTIONAL
RECOMMENDATIONS

UNDERSTANDING RC

> Prioritize a pluralistic, evolving and holistic view of RC focused on specific practices, projects and contexts, rather than a general definitional approach.

> Establish means to document projects in RC to increase understanding of this set of practices.

> More clearly define the connection between the various approaches within RC and the variations that may not belong.

LOOKING AT RCRC

> Look at RCRC from the perspective of specific practices in RC and see the dialogue between RCR and RC as being specific to each project and taking into account its characteristics and challenges.

> Highlight the relationship between the various practices in RC and the issues in RCR that are more closely related to them.

EVALUATION AND RECOGNITION OF RC

> Increase the recognition and appreciation of the various statuses and postures of RRCs (e.g., artist, researcher, professor).

> Promote openness to the different forms of dissemination and valorization of RC and take into account the specific aims of RC projects during their evaluation (e.g., by giving more weight to qualitative aspects).

IN A FEW WORDS...

Conflicts of Interest (COIs) and Conflicts of Commitment (CCs) are both a symptom of general issues in RC, such as the lack of consensus on its definition or the various postures of RRCs, and a potential risk factor that could lead to other RCR breaches (e.g., misrepresentation or mismanagement of funds). **The characteristics of RC are discussed in *Point 2.2* of the Guide.**

DEFINITION — CONFLICT OF INTEREST (COI)

Individuals or institutions are in a real or apparent conflict of interest when their interests clash with their responsibilities and duties, and they put themselves at risk of losing their objectivity or impartiality in decision-making, at least in appearance, which in turn may raise questions of integrity. Conflicts of interest may be financial, political, ideological or professional, among others. (1) (Adapted, our translation)

DEFINITION — CONFLICT OF COMMITMENT (CC)

It is a conflict of obligations that occurs when external activities clash with professional activities, for example, when a member of the administration devotes work hours to personal activities or a researcher uses material or university staff for private projects. In this research, we chose to address CCs given their close relationship to COIs, even though this is not a typical RCR topic. (18) (Adapted, our translation)

This said, not all conflicting or divergent interests are necessarily COIs, nor are they inevitably breaches of RCR. More often, shortcomings can be prevented or managed through a collaborative approach between RRCs and their institution. Nevertheless, the appearance of a COI can be as damaging to a reputation as a proven conflict. Collective agreements specific to each university also outline the tasks expected of their employees—including the RRCs—in the performance of their duties.

WHAT DOES THE POLICY SAY?

According to the FRQ Policy, it is important to avoid or know how to manage personal or institutional COIs in an ethical manner. If such a situation arises, the recommendation is as follow:

> [...] When unavoidable, each instance [of conflict of interest] must be identified, disclosed, carefully examined, and managed in such a way as to avoid any corruption of the research process. (1)

Inversely, the mismanagement of a COI is considered as a breach of RCR, from the point of view of the FRQ, when the researcher(s) concerned are no longer able to fulfill their funded research obligations. CCs are not currently accounted for in the Policy, but our team has nonetheless identified them as a research topic.

RELATED BREACHES OF RCR

» Mismanagement of conflicts of interest
» Mismanagement of conflicts of commitment (addendum)

These breaches of RCR are addressed in the case studies presented in *Section 3* of the Toolkit.

PERCEPTION OF THE COMMUNITIES

There is little discussion of COIs and CCs in the academic literature with respect to RCR in RC, representing only 2% of the codes analyzed in our literature review (15). Differences in vocabulary between RCR and RC, as well as a negative perception of COIs and CCs, may be the reason. The vast majority of respondents to our international survey on RCRC believe that they had never personally experienced a COI. However, a higher percentage of respondents (between 29% and 52% depending on the profiles) said they had witnessed COIs within their institutions. **Additional data from the international survey is presented in *Section 4* of the Toolkit.**

> *"Since creation is an important part of my research and teaching, there should be no conflicts of commitment, but there are."*
>
> – Researcher-creator

In the case of CCs, several RRCs expressed having difficulty reconciling activities they deemed to be a normal part of their creative practice with the sometimes unclear or contradictory expectations of their institution, particularly in terms of recognition and evaluation. **This topic is discussed in more detail in the podcast on COI and CC presented in *Section 3* of the Toolkit.**

MAIN SOURCES OF COI IN RC

Through our research, we identified personal, financial, professional, institutional and ideological COIs. We distinguish six factors that are particularly favourable to the emergence of COIs in RC.

Multiple Affiliations

The first source of COI concerns dealing with the many affiliations of RRCs, whether with peers, university students, producers, artistic collaborators, commercial partners, or investors. This factor is linked to the issue of posture mentioned above, since RRCs must satisfy both academic and creative requirements, and at times commercial ones. For example, a COI could arise if demands from private producers shift the creation project in a direction contrary to the aims of the research.

Funding

Funding is not necessarily a source of COI, but it can be a catalyst or marker of a problematic situation. Thus, in the context of RC, RRCs are most often constrained—even encouraged—to obtain financing for their projects from several research (e.g., SSHRC, FRQSC) and creation (e.g., CCA, CALQ, private pro-

ducers) funding sources, whose differing objectives may be at odds. We can see the potential for institutional conflicts between the mandates of the various actors involved in the same projects, sometimes with different expectations regarding the RRCs they are funding. Transparency is thus required when it comes to joint funding.

In another example, an RRC who did not obtain creative funding for a RC project could end up dropping the project's artistic component in favour of the research funded part, or vice versa. For some, this causes a disparity between the two spheres of activity that can limit the recognition and valorization of these projects, in addition to being a source of frustration.

The Hybrid Nature of RC Practice

The third potential source of COIs is related to the practice of RC and its hybrid nature. In the literature review, several authors highlighted the difficult balance between the creative requirements of RC (e.g., aesthetic, collaborative, technical) and requirements of integrity and research ethics. For example, should one opt for "rigorous" research or aim for the "seduction" of the public through the presentation of the work? **This topic will be discussed in more detail in *Point 2.6* of the Guide.**

Collaborative Approaches

The friction and potential issues of power between, on the one hand, participants in RC projects that involve different levels of collaboration, and the interests of RRCs and their partners on the other, are also raised in the literature. In the absence of clear and explicit collaboration agreements, COIs and issues of authorship may arise, for example, when the RC work is also that of the participants.

The Proximity of the Actors in the Field

Since the active RC community is relatively small, there is a greater risk that COIs will arise in collaborations involving, for example, supervised students, friends or spouses.

The Type of Artistic Practice

COIs may vary depending on the type of creative practice, each resulting in specific links to a diverse range of actors. For example, in the case of music, it is essential for RRCs to be able to perform before an audience during their RC projects. While partnerships with private producers may be beneficial to the practice, these contracts are likely to bring about their fair share of concessions. For example, some RRCs may feel that their creative freedom is being restricted, since proposals submitted to producers must "sell" and fill the concert halls.

"Sometimes I have the unpleasant feeling of being a mercenary who goes where the money is to carry out projects. I choose my commitments accordingly."

– Researcher-creator

OCCURRENCE OF CC IN RC

Many of the above-mentioned factors are also associated with the occurrence of CCs. These potentially conflicting obligations are further driven by: 1) the dual expertise—research and creation—pursued by RRCs; 2) the difficulty for RRCs to assume and balance the roles and responsibilities associated with their various roles; 3) the paradoxes of collaborative research when faced with the imperatives of individual production; and finally 4) the difficulty in balancing all these demands while finding the time to teach and supervise students. Despite their proximity to COIs, recall that CCs are not a conventional topic in RCR. However, a CC could be problematic if it distracts the RRC from their obligations regarding their role or funding.

SYNOPSIS

COIs and CCs are rarely mentioned in RC, but several sources have been raised. A central element identified by our research, which can explain the emergence of these two types of conflicts, is the hybrid nature of RC. The latter is seen especially in the articulation—in some cases the opposition—between: research and creation; research integrity and research ethics, and the requirements of creation; individual and collaborative approaches; professors and their students, or artists and researchers, within their interactions; research funding and creative funding; and the constraints of public and private funds. Each of these mandates entails its share of obligations, which can potentially come into conflict with each other.

OTHER RESOURCES

» Tool 4 — Podcast Discussion on Conflicts of Interest and of Commitment in RC

The podcast (in French) on COIs and CCs in RC is presented in *Section 3* of the Toolkit.

"Is the artistic practice related to, or independent from, the academic research activities? This could be a case of dual employment."

– RCR Manager

RCRC
CHECKLIST

PREVENTING COI AND CC

Diverging interests do not necessarily lead to a COI. The important thing is to identify everyone's expectations and manage them appropriately. However, the appearance of a COI can be as damaging as an actual COI. Thus, it is best to avoid them from the start, if possible.

In order to identify and prevent COIs and CCs, it is recommended that one take a self-reflective stance on one's RC approach and seek out impartial advice from another person. For example, the following questions may help identify CCs in the first instance, and COIs in the second:

> **How do I reconcile my obligations as professor and my involvement outside the university?** Do these activities conflict with my main occupation? If so, what adjustments can I make?

> In the case of a professor collaborating with students — **Am I being neutral in my evaluation and supervision of their work with respect to my own creative activities?** Is my opinion biased regarding the quality and originality of their work because of my own?

IDENTIFYING AND MANAGING COI

The main stages of analysis and management of COIs are as follows:

1. Identification of conflicting interests — What are the interests at stake and who are the actors? Is there a conflict? What is the nature and degree of the conflict?

2. Risk assessment — If a potential conflict is identified, how significant is it? Can it be managed?

3. Establishing a management system — If the COI can be managed, a suitable management strategy should be implemented. Otherwise, it is best to get out of the situation.

MANAGEMENT TOOLS

Management tools for COIs and CCs may include: collaboration agreements and contracts, disclosure of interests, a disclosure of occupations and income from outside the university, etc. University offices of research and creation, or of valorization, can help RRCs in this undertaking.

POTENTIAL BREACH OF RCR

Proven mismanagement of a COI is considered a breach of RCR. Despite their proximity to COIs, remember that CCs are not a conventional topic in RCR and therefore do not constitute a formal breach of current policies. However, a CC could be problematic if it distracts the RRC from their obligations regarding their role or funding.

INSTITUTIONAL
RECOMMENDATIONS

PREVENTION AND TRAINING

> Encourage a more positive perception and culture regarding COI and CC to foster dialogue on these issues.

> Encourage the idea that COI and CC prevention and management are the shared responsibility of researchers and institutions hosting research and research-creation activities, and provide the support needed to manage them beyond their purely bureaucratic aspects.

> Provide more training on COI and CC for researchers, particularly to facilitate upstream prevention, and their identification and management.

CLARIFICATION OF EXPECTATIONS

> Clarify expectations towards RRCs, their roles and responsibilities, as well as the planned valorisation modalities for their contributions and their research and creation activities, to reduce the potential for COIs and CCs.
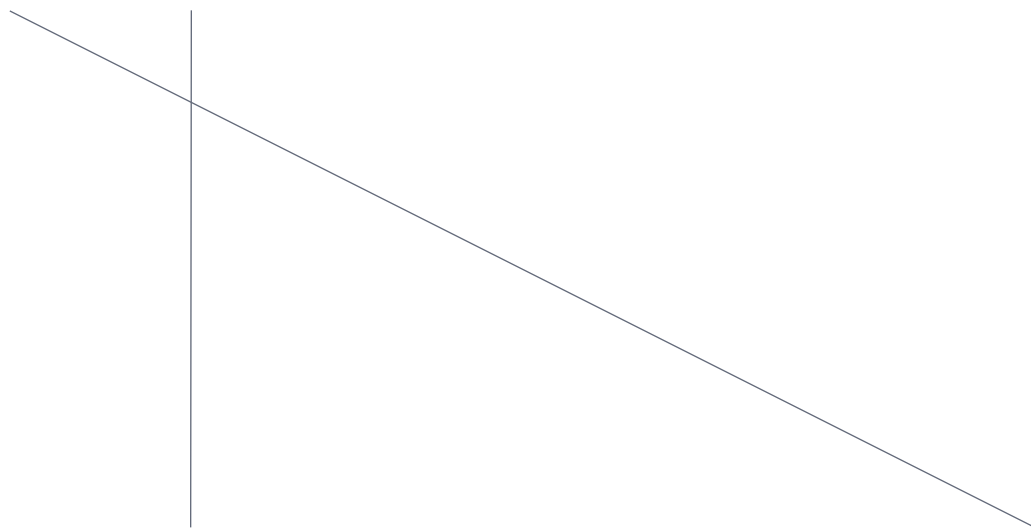
2.4 DISSEMINATION OF RC

IN A FEW WORDS…

The wide range of RC practices underscores the use of very different forms of dissemination (e.g., academic papers, performances, musical compositions, visual and digital creations, applications, software), each consisting of equally varied modes of production (e.g., individual or collaborative work). This can give rise to tensions, particularly with regard to authorship and data management. These tensions are especially apparent when the time comes to disseminate RC, possibly using forms that are very different from those normally used in research. Thus, the potential breaches of RCR arising from dissemination are numerous.

WHAT DO WE MEAN BY "DISSEMINATION"?

The "dissemination of RC" refers to all activities whose aim is to transfer knowledge or share RC "results", regardless of their form (e.g., academic papers, conferences, RC theses, artefacts resulting from creation, performances), their purpose (e.g., reporting results, presenting a work, raising questions, evoking an aesthetic experience, proposing new tools for creation), and the intended audience (e.g., the RC community, that of a specific academic or creative field, the general public). It raises issues regarding the attribution of authorship and data management.

WHAT DOES THE POLICY SAY?

The FRQ Policy defines the responsible dissemination of results, considered as a "best practice", as follows:

> Report on research in a responsible and timely fashion— Results should be published in a transparent, just and diligent manner. Publications, including clear statements of data and methodology, as well as research activities and research results, should not be unduly delayed or intentionally withheld. These considerations should be configured within each discipline's own timeframe. (1)

In the FRQ Policy, authorship and data management are not specifically described as issues of responsible dissemination of results. However, mistakes that may have occurred when authorship was attributed (especially in the case of collaborative projects) and in data management are likely to come to the fore during dissemination. Thus, breaches such as *plagiarism, redundant publication* and *invalid authorship*, all of which imply an absence of transparency and fairness in the attribution of authorship status, can be considered as breaches of RCR related to the responsible dissemination of results. Similarly, the *fabrication* (that is, the invention), *falsification* and *destruction of data*, which we have chosen to label as "poor data management", contravenes transparent, fair and, therefore, accountable dissemination. Nevertheless, one of the peculiarities of RC regarding these potential breaches of RCR is determining what is likely to (or not) constitute RC "data".

RELATED BREACHES OF RCR

» Plagiarism
» Invalid authorship
» Inadequate acknowledgement
» Redundant publication
» Fabricating (data)
» Falsifying (data)
» Destroying (data)

These breaches of RCR are addressed in the case studies presented in *Section 3* of the Toolkit.

PERCEPTION BY THE COMMUNITIES

<u>Authorship</u>

In the international survey conducted as part of this research, we asked respondents about their perception of authorship in collaborative projects. The majority of respondents were in favour of automatically recognizing artists as co-authors of academic papers when they participated in the research. A majority was also in favour of recognizing researchers as co-authors or co-creators of works resulting from the collaborative work. However, unlike the literature review, the majority of survey respondents did not believe that participants should be recognized as co-authors of academic papers or works of art.

<u>Plagiarism</u>

In the same international survey, we observed that the perception of plagiarism varied according to the posture of the RRC. In fact, those who identified more as "researchers" more often mentioned having witnessed this breach of RCR compared to RRCs who identified more as "artists". In Canada and Québec, more than two-thirds of respondents had never witnessed plagiarism, compared with 45% of international respondents.

<u>Collaborative Work</u>

Collaborative work can complicate authorship, as several people may have been involved in content creation with different inputs and levels of involvement. According to the results of the international survey, collaborative work is relatively common in RC, particularly for post-doctoral researchers, independent researchers, and professors—with 42% saying that they always work as part of a team. The variety of collaborators working with RRCs is impressive. In addition to collaborating with other RRCs, artists or researchers, survey respondents also mentioned working with citizens, engineers, art curators, managers, lawyers, etc.

<u>Ways of Disseminating Results</u>

According to the international survey, RRCs most often use academic papers to disseminate their RC results, but they have no problem sharing them in other forms (e.g., books, theses, exhibitions, artistic conferences) depending on their respective field(s) (e.g., humanities, technological arts, literature, communication, design).

More data from the international survey is presented in *Section 4* of the Toolkit.

MAIN CAUSES OF BREACHES OF RCR WHEN DISSEMINATING RC RESULTS

We identified three main sources of conflict between RCR and RC relating to the responsible dissemination in RC: 1) between alternative forms of dissemination and the quest for objectivity; 2) between the various collaborative approaches to RC and the attribution of authorship status; and 3) regarding questioning about the definition of plagiarism in relation to certain RC practices.

<u>Expectation of Objectivity</u>

A great tension lies in the quest for "objectivity" advocated in several fields of academic study, namely in the pure and applied sciences and in some branches of the humanities and social sciences, on the periphery of which RC practices may be found. During the dissemination of RC results, which can take various forms (e.g., an artefact resulting from a creation, a performance), this requirement is juxtaposed with the characteristics of the creative practice or the epistemological position claimed by the RRC, their intentions, or even the desire to attract or "seduce" an audience. This tension also influences what is likely or not to be considered RC "data", its nature (e.g., text, audio-visual, sensory), as well as the expected treatment.

Collaborative Approaches

Collaborative RC practices are very challenging when it comes to the attribution of authorship status, both in collaborations between researchers and artists, between professors and students, and more generally in projects involving human participants. Thus, it is not clear what method should be employed to recognize the contribution of an artist in academic publications and, conversely, researchers in creation; whether professors should be recognized as co-authors of graduate students' articles and works as part of their supervisory activities; and if participants should also be considered co-authors of a work resulting from a collaborative project (see *Perception by the Communities* above).

In addition, while some creators or artists claim, as their own, works that require the participation of many people, other creative collaborative practices (e.g., co-creation, collective creation, pseudonymous or anonymous initiatives) question the very notion of authorship and, at first glance, appear incompatible with authorship as commonly defined by RCR. In short, the complexity of the attribution of authorship in collaborative projects in RC could increase the risk that it will be poorly executed, thus creating potential shortcomings or breaches of RCR. Finally, data sharing practices can also be influenced by the collaborative approach being employed (e.g., in the case of data belonging to the community rather than to the RRC, or whether it is necessary or not to make it public).

"The modes of dissemination that are accepted by RC create more possibilities for expression, for example, by going beyond words."

– Researcher-creator

Plagiarism and Practices Specific to RC

Certain practices that can be integrated into RC projects, such as remix, sampling or appropriation—which are valued in the arts—could be considered plagiarism in terms of RCR if the approach is not clearly spelled out by the RRC. As with collaborative practices, this could create difficulties in the attribution of authorship.

SYNOPSIS

Academic, artistic and creative methods of dissemination are generally regarded as complementary, since research publications bring credibility to projects and the creativity of means makes it possible to go beyond the limits of traditional forms of dissemination. However, the use of alternative methods of dissemination raises the question of the expectation of "objectivity" associated with several approaches to research and the definition of plagiarism. Added to this are the issues of authorship inherent to collaborative works, relatively common in RC, and of specific forms of collaboration that encourage the redefinition of the very notion of the author (e.g., co-creation, artist collective). This discussion is complicated by questions about what is likely or not to be considered RC "data".

"There seem to be two meanings of the word 'plagiarism': one for researchers, where plagiarism is understood as 'taking,' and one for artists, where it means 'to borrow.'"

– Researcher-creator

RCRC
CHECKLIST

AUTHORSHIP

Authorship concerns the modalities for attributing the status of author to the stakeholders in a RC project. To avoid misunderstandings, these issues should be discussed with the collaborators in advance, and regularly throughout the project.

> **Have any ideas or concepts underlying my RC project been developed by other people (e.g., students)?** If so, have I discussed authorship with these people? Should they be recognized as co-authors? What is the contribution threshold to be recognized as an author? Have other modes of granting authorship been considered (e.g., artist collective, pseudonym, anonymity)?

> **Did collaborators (e.g., students, technicians, artists, professors) contribute to any stage of my project?** How should I indicate their contribution?

Recognition for participating in a RC project can take many forms, namely acknowledgements, a list of collaborators, royalties, etc.

> **Did all the people I chose to mention in my project contribute significantly to its development?** Did some people (e.g., in a position of power) insist or put pressure to be included, even if their contribution was not significant? Are certain names cited to give the project prestige or attention, without their contribution being significant?

> **Are the terms of this collaboration, as well as the expected recognition, specified in writing prior to the project (e.g., in the case of initiatives between professors and students)?**

DISSEMINATION

> **In published articles or public presentations (e.g., symposium, cultural events, exhibitions, festivals) of an ongoing or completed RC project, did I adequately mention my co-authors and collaborators?**

> **Did I mention the funding bodies that allowed me to carry out these activities?** Omitting this information constitutes a breach of RCR.

DATA MANAGEMENT

> **What do I consider as my RC "data"?**

> **Have I kept track of the ideas and creations that I want to develop, or of the various RC data and results from my project (e.g., consent forms if applicable, textual, visual or audio documents)?** If so, how will this data be archived? For how long?

In fact, it is preferable to keep track (on paper or digitally) of all these steps so as to more easily support "best-practices" of RC dissemination, or to prove authorship of a project in case of allegations of a breach of RCR.

> Although this is a good practice rather than a potential breach of RCR, **have I thought of documenting the essential components of my creation, whatever its form (e.g., technical specifications sheet to facilitate its reproduction or storage in a museum)?**

POTENTIAL BREACHES OF RCR

The fabrication, falsification, destruction of research records, plagiarism, redundant publication, invalid authorship or inadequate acknowledgement are considered breaches of RCR.

INSTITUTIONAL
RECOMMENDATIONS

CHARACTERISTICS OF RC

> Take greater account of the different possible objectives of RC dissemination—in keeping with the practices and intentions of RRCs—and the characteristics of these alternative modes of dissemination (e.g., going beyond the pursuit of "objectivity").

AUTHORSHIP

> Take into account the progressive forms of dissemination and authorship in creation and in the arts (e.g., co-creation, pseudonym, anonymity, artist collective), especially in order to adapt the definition of plagiarism in institutional RCR policies and to facilitate the prevention and evaluation of alleged breaches of RCR.

> Promote different levels of reflection and moments for discussing the attribution of author status and credit associated with RC projects (e.g., in advance, via REBs).

> Publicize decision-making tools regarding authorship attribution (e.g., Smith and Master [17]) among the academic and creative communities, to encourage dialogue on this subject in the various fields of research and, thus, facilitate collaboration.

DATA MANAGEMENT

> Adapt protocols and expectations regarding data management to the specific reality of RC practices and assist RRCs in implementing them.

2.5 EVALUATION OF RC

IN A FEW WORDS...

The lack of consensus regarding the definition of RC, as well as its different forms and objectives, makes it more difficult to implement criteria for its fair and equitable evaluation. This tension is particularly evident in the evaluation of productivity, which differs significantly in RC compared to the rest of the academic world. These issues are raised in particular when it comes to funding, but can be generalized to other evaluation contexts, such as a thesis jury or a REB. Also, since the RC community is still relatively small, some evaluation committees may be poorly equipped to properly evaluate RC projects.

WHAT DO WE MEAN BY "EVALUATION"?

Within RC and this Guide, "evaluation" refers to all situations that compare or assign a value to a RC project—whether to grant an academic degree to its author, to provide funding or ethical approval, or an assessment following the allegation of a breach of RCR. The evaluation of RC projects is complicated by the very nature of this field of practice, which requires finding a balance when simultaneously considering the "research" and "creation" aspects.

WHAT DOES THE POLICY SAY?

The FRQ Policy makes several references to evaluation, namely with regard to funding applications. The focus is on the values that should guide this process, rather than on the evaluation criteria specific to each field:

> Be transparent and honest in applying for and managing public funds — Applicants must provide complete and accurate information as required for a true and transparent evaluation of their funding application. They must ensure that collaborators listed on the application have agreed to be included. (1)

Opposed to this "best practice" in RCR is the breach of "false declaration". This can lead to the mismanagement of grant or scholarship funds, especially if the funds were given on the basis of false information.

The policy also raises the notion of peer review, both through the definition of "best practice" and a breach of RCR:

> Review the work of others with integrity — Individuals and organizations should ensure the peer review process is conducted in a manner that reflects the highest scholarly, professional, and scientific standards of fairness and confidentiality. The same standards must apply to the evaluation itself. (1)

> Infringement of the integrity of a scientific peer review process and the awarding of funding — Collusion; failure to appropriately manage conflict of interest; appropriating the work of another following FRQ committee evaluation; or failure to respect confidentiality. (1)

PERCEPTION BY THE COMMUNITIES

While the specific evaluation, funding and support criteria for RC vary greatly from one context to another, the survey of respondents from 59 countries allowed us to identify certain general international perceptions and issues on this topic. In our RCRC survey, there was no consensus on what should take priority, between "academic" and "artistic" productions, in the evaluation of RC projects. Nevertheless, over 70% of respondents somewhat or totally agreed with the idea that the creative component should be considered in the identification, evaluation and management of RCR issues. A tension arises, however, when we ask whether the ethical evaluation of RC projects sufficiently considers artistic or creative "merit" in the analysis of benefits and risks: the answers are indeed mixed, which indicates that improvement is possible.

According to respondents to the international survey, the evaluators of grant and scholarship programs, of nomination and promotion committees, and of RC theses are more often lacking in "artistic" rather than "academic" expertise. This is likely why the majority of respondents said that RC submissions should be evaluated by RRCs. Further, the literature review and discussion group seem to support the notion that funding favours research to the detriment of RC, particularly because some evaluation criteria may diminish the emphasis on the creative quality of projects. Finally, as noted earlier, the evaluation of RC projects is also dependent on the various reinterpretations of its definition by committee members (see *Point 2.2*). **More data from the international survey is presented in *Section 4* of the Toolkit.**

CONFLICTS BETWEEN RCR AND RC

Despite the differences between one international research context and another, we identified three main sources of tension in the evaluation of RC projects: 1) the lack of a consensual definition of RC on how it is to be evaluated; 2) the difficulty in measuring productivity in RC; and 3) the expertise required to evaluate RC projects.

Difficulty in Defining RC

The position of the FRQ Policy on evaluation—which emphasizes the importance of integrity, honesty and transparency in its conduct—is generally not questioned by the RC community. On the other hand, tensions arise in the understanding of this set of practices by the RCR and RC communities, and the many definitions they provide for RC. Indeed, the vagueness of the definition surrounding RC (see *Point 2.2*) complicates, according to some, the development of clear and objective evaluation criteria that would allow a fair comparison of RC projects, both in terms of funding and of promotion committees, RC thesis juries, ethics reviews and the investigation of allegations of RCR breaches.

Even though the definitions of RC adopted by the granting agencies in Québec and Canada are generally well received by the communities that were surveyed (see *Overview of International RCR Survey Results* presented in *Section 4*), there is no consensus on a single definition of RC, especially from the point of view of RRCs. Thus, although the definitions of the granting agencies are reflected in the selection of RC projects that will be funded, they also tend to be reinterpreted by the evaluators on peer review committees.

Evaluation of Productivity

In the academic world, productivity is generally evaluated according to the publication of academic texts, based on criteria such as the quantity and type of publications (e.g., original research, commentaries) and the impact factor or prestige of journals. However, given the different forms and means of dissemination in RC, the evaluation of production is turned upside down. The emphasis on the quantitative evaluation of research is criticized, and many call for new evaluation metrics that are better adapted to RC (e.g., taking into account the qualitative aspects of creation, the prestige of the exhibition venue, the number and type of visitors). Others propose a complete rethinking of the current evaluation model and of the performance criteria on which it is based.

For some RRCs, prioritizing academic production means slowing down the creative process. Indeed, emphasizing academic productivity may, in their opinion, have the pernicious effect of diminishing the artistic or creative quality of RC projects—the priority then becoming academic production at the expense of creative production or practice. This effect would be exacerbated by the very high academic requirements for productivity, as well as time and funding constraints. The funding of RC projects through a financing arrangement that draws from funds dedicated to both research (e.g., FRQSC, SSHRC) and to creation (e.g., CALQ, CCA, private producers), which may not have the same objectives, can also be problematic, for example, when one

component of the project is funded to the detriment of the other (see *Point 2.3*).

Finally, the impression of rigidity in the evaluation process led by certain granting agencies and the lack of consideration for the specificities of RC can represent a barrier to the progression of young RRCs, the creation of knowledge and the development of new RC methodologies. This rigidity could, for example, incite RRCs to make false or incomplete statements (e.g., modify the project's methodology to make it less experimental and unpredictable) in their REB documents or grant applications, in order to comply with the constraints imposed by the granting agencies and, after receiving the funds, use them for purposes other than those indicated in the proposal.

Who Should Evaluate RC?

The RC community—which is quite small, with relatively few professors, students and research groups—would seem to suffer from a lack of representation within, among others, Québec and Canadian granting agencies. This problem can create a vicious circle, where few RC grant applications are submitted, making the committees responsible for assessing these files less competent, thus further diminishing access to funding for RRCs. This hypothesis is supported in part by the results of our international RCRC survey, which found that RC project evaluators lack more "artistic" than "academic" expertise, both in awarding grants and in RC thesis juries. The majority of respondents also indicated that RC submissions should be evaluated by RRCs (see *Perception of the Communities above*).

SYNOPSIS

To sum up, the general perception internationally, beyond specific research contexts, is that at the moment too much emphasis is placed on the academic aspect of RC production at the expense of creation. Therefore, a better equilibrium between the recognition of these two RC components should be taken into account in its evaluation. The current lack of flexibility also creates fertile ground for breaches of RCR, such as false declaration and mismanagement of funds, in addition to making it difficult to access funds, especially for the next generation of RRCs. Furthermore, RC projects should be evaluated by RRCs whose expertise would be better suited to understanding the reality of these practices.

RELATED BREACHES OF RCR

» False declaration
» Infringement of the integrity of the evaluation process
» Mismanagement of funds

These breaches of RCR are addressed in the case studies presented in *Section 3* of the Toolkit.

RCRC
CHECKLIST

RCR policies state that requests for funds and their ensuing management must be done in a transparent and honest way.

APPLICATION FOR FUNDS

> **Have all co-applicants, collaborators or partners listed in my funding application given consent to be included or to possibly participate in this project?** If, for various reasons, some withdrew or changes were made along the way, have I thought about notifying the granting agencies? Have I kept track of these withdrawals?

> **Have I been transparent about the nature of my RC project in my grant application?** Have I provided the necessary information to properly identify my RC approach and methodologies (e.g., taking into consideration its experimental, heuristic or processual aspects, or by specifying the expected results and validation criteria specific to the project)?

> A RC approach can often have experimental and unforeseen elements, which forces the RRC to modify the project compared to how it was originally designed. **If my project has undergone significant changes or raises new research ethics issues, have I thought about notifying the REB?**

MANAGEMENT OF FUNDS

> **After receiving funding, am I able to manage the funds in a transparent way following what was outlined in the grant?** Does project management rely on appropriate financial administration procedures or tools?

PEER REVIEW OF RC

> **When I am invited to be on an evaluation committee, am I able to examine the work of others with integrity? Are the procedure and evaluation criteria clearly stated?** Are the confidentiality measures and the ownership of the ideas respected?

POTENTIAL BREACHES OF RCR

False statements in a grant application, mismanagement of funds, or the proven violation of research policies, laws, or regulations are considered a breach of RCR.

INSTITUTIONAL
RECOMMENDATIONS

CHARACTERISTICS OF RC

> Take into greater account the characteristics of RC and its specific practices (e.g., its artistic, creative, collaborative or experimental value) in the evaluation and validation of this type of research. For example, this could include adding a qualitative component (e.g., interviews, a statement of intent, or a portfolio) to the evaluation process of RC projects, while maintaining common evaluation criteria.

EVALUATION COMMITTEES

> Establish evaluation committees adapted to the characteristics of RC, both in terms of processes and evaluation criteria, and include RRCs on these committees.

> Sensitize evaluators to the variety of RC approaches and practices in order to encourage the coexistence of multiple visions and a dialogue about them.

2.6.1 RC PRACTICES AND RESEARCH ETHICS

IN A FEW WORDS...

RCR includes compliance with the standards governing research ethics. This raises specific issues from the point of view of RC, some of which are of a general nature and others that stem, once again, from specific practices (e.g., collaborative work with vulnerable populations, bio-art).

Although the topic of research ethics was not covered by the initial objectives of our research project, it was frequently mentioned by the RCR and the RC communities. In fact, the latter was often more inclined to tell us about their difficulties with Research Ethics Boards (REBs) than to talk about research integrity, with which RRCs were less familiar. This is why we have chosen to briefly discuss the topic of research ethics in this Guide. We discuss its relationship with RC practices from a pragmatic (rather than philosophical or aesthetic) point of view.

WHAT DOES THE POLICY SAY?

The FRQ Policy discusses research ethics and specifies that RCR must pay particular attention to:

> Treat all research participants fairly and with respect and consider the environmental impact of research — Research participants must be treated with justice, respect and benevolence, in accordance with the basic principles of research ethics. For example, protecting the confidentiality of data collected from participants is essential. Research activities must be conducted in accordance with relevant regulations in animal care and use. Impacts on the environment should also be considered when conducting research. Relevant regulations and applicable policies of the Tri-council agencies, the Fonds and the institutions concerned should be followed, guided by common principles and values. (1)

Researchers are called upon to "adopt best research practices specific to their discipline in order to foster an environment favourable to ethical conduct in their research activities". (1)

PERCEPTION BY THE COMMUNITIES

Respondents to the international RCRC survey generally had a positive and constructive perception of research ethics. Despite having a wide range of experiences—from negative to positive—with REBs, the discussion group and workshop participants generally shared a similar perception. In fact, RRCs were in favour of REBs when the process of reflection leading to the ethical approval of RC projects is well supported and personalized. Nevertheless, some stakeholders in the RCR community argue that ethics requires a certain level of normativity, even in RC. **More data from the international survey is presented in *Section 4* of the Toolkit.**

TENSION BETWEEN RESEARCH ETHICS AND RC

Four main areas of tension between research ethics and RC practices were identified by the project, namely: 1) a sometimes difficult connection between research ethics standards and a processual RC; 2) the various types of relationships with participants; 3) the variety of RC practices and the specificities they bring to ethical reflection; and 4) concerns relating to bio-art or RC projects involving animals.

Articulating a Normative Research Ethics with a Processual RC

The first area of tension is between a more "normative" vision of research ethics and a more processual vision of RC. Several authors mention the difficulty of combining the current imperatives of participants' free and informed consent with the iterative, intuitive and sometimes unpredictable nature of RC projects. The limitations of current RCR approaches and tools (such as rigid consent forms) are underlined, for example, for projects where all specific components are not determined in advance. This can lead to tensions between protecting the integrity of participants and respecting the creative process.

The management and use of research and creation data can also be problematic, given the complex relationship between ethical, aesthetic, technical, and legal considerations (e.g., image rights) of research. This is particularly complex in creative practices involving visual or audio representations of participants, their archiving or secondary use. These practices raise questions about what constitutes purely creative components versus research data—thus subject to the standards of research ethics—or about preserving the anonymity of participants through the various iterations of a creative process.

> *"Ethical action is not necessarily a closed process."*
>
> – RCR Manager

> *"Would it be ethical to eliminate the aesthetic dimension of a RC project so that it conforms to a normative vision of research ethics?"*
>
> – Researcher-creator

Relationship Between RRCs and Participants

As in the previous point, it can be difficult to preserve both the integrity of the participants and that of the creative process. In fact, RRCs are called upon to adopt various postures and seek various effects based on the practices being pursued. Beyond the mere possibility of dealing with sensitive topics, creation encompasses approaches that generate a high degree of emotional involvement. To give just one example, the participatory nature of some co-creation approaches may also involve risks related to power issues, as well as the recognition, interpretation, or dissemination of contributions, which must be taken into account upstream in the RC process. It was also pointed out that for some projects the risks to which an individual consents may affect an entire community.

Nevertheless, a degree of discomfort may be necessary in some RC approaches that seek, for example, to raise awareness, challenge prejudices, or exert political action. It may also happen that RRCs put themselves "in danger", and that this is an essential part of their approach. Some RC projects are thus likely to place participants and RRCs in a position of vulnerability, be it emotionally, representationally, physically or even politically. In many cases, these ethical "risks" are also part of a specific practice, the consideration of which could facilitate an articulation with the standards of research ethics. It is also essential to correctly identify the RC approach being adopted, since the types of research using creation and art for intervention purposes (e.g., art-based therapy or art-based education) do not have the same goals, methods and repercussions as projects aimed primarily at creation.

Joint Reflection on Research Ethics and Different Creative Practices

Thus, different forms of creation come with a posture and ethical considerations of their own, which are likely to conflict with a normative and unified vision derived from research ethics. The possible solution for linking both positions potentially lies in conceiving responsibility for creation as a form of ethical posture and responsible research. The responsibility of RRCs towards the entire project—rather than the single idea of ownership of the work or creation—could thus be a source of ethical guidance.

This responsibility could also be shared among the many collaborators in a creative context. In this sense, several RRCs stressed the importance of addressing the various possible conceptions of research ethics in relation to creation, particularly through training, in order to ensure that RC can still ask socially difficult questions—such as in art. In so doing, RRCs would be able to identify the ethical issues specific to their RC projects and initiate a collaborative dialogue on the subject with the RCR and REB representatives of their respective institutions.

Concerns About Bio-art and RC Involving Animals

According to several RRCs, in RC biological material gives rise to concerns that do not necessarily exist in the field of academic research, where similar practices go under the radar. Thus, the gap between the standards of research ethics and those of creative practice may particularly affect bio-art and RC projects involving animals, sometimes preventing or challenging them by questioning practices that are not, or are hardly, problematic in science.

> *"The question that arises is: What is my ethical responsibility towards this RC project and its potential collaborators? I see three main elements, best expressed as authorship, ownership and accountability to the project."*
>
> – Researcher-creator

UNEVEN SUPPORT IN THE RESEARCH ETHICS REVIEW PROCESS

Participants in this research project generally acknowledged that the process of ethical reflection and evaluation conducted by REBs can greatly benefit RC projects. Nevertheless, given the characteristics of RC, continuous support to ensure the project's success—rather than the strict application of research ethics norms—is essential in order to foster the link between research and creation ethics. That said, it seems that support in ethical approval processes varies greatly from one institution to another, ranging from highly personalized follow-ups to a more detached and standard approach, most often due to insufficient resources. Furthermore, a lack of consensus seems to persist in the very way of approaching creation in research ethics, for example, with the distinction between what does or does not constitute research data within creative practice being interpreted differently from one context to another.

While getting around the rules is at the crux of the creative activity of several RRCs, some fear the bureaucracy that might thwart certain projects. The lack of information about research ethics and the perception that the process will be too long and complicated may sometimes lead RRCs to modify their project prior to its evaluation by a REB. This fear was shared by students, in particular. The key factors identified to facilitate this process are continuous and personalized support focused on the project's success, and the RRC's intrinsic motivation to participate in an ethics review process.

SYNOPSIS...

In conclusion, the main tensions between RC and research ethics identified in this project occur mostly at three levels. First, a normative vision of research ethics conflicts with a more processual, sometimes unpredictable, vision of RC. Second, some RC practices redefine the relationship between researchers and participants, for example, when projects—whose aim is collaboration, speaking out, or social change—imply greater emotional commitment on their part. Finally, it is suggested that the two dimensions of research ethics and RC practice be considered together, so that responsibility for creation can be considered as a form of ethical responsibility. Despite these tensions, there is an openness in the RC community with respect to research ethics. Nevertheless, the ways of applying these policies must be made clearer depending on the specific contexts and institutions. Moreover, sustained and personalized support in the process of ethical reflection and evaluation must be prioritized in order to facilitate a better articulation between research ethics and RC.

RELATED BREACHES OF RCR

» Breaches of Policies or Requirements for Certain Types of Research

These breaches of RCR are addressed in the case studies presented in *Section 3* of the Toolkit.

"I worry about ethics review because I know little about this process. I fear that I cannot do my RC project unless I modify it considerably..."

– RC student

RCRC
CHECKLIST

FAMILIARITY WITH RESEARCH ETHICS

› **Am I familiar with the concepts and terminology of research ethics?** Research ethics focuses mainly on the respect and protection of research participants, as well as animals and the environment. In the case of people, it focuses mostly on informed consent, fairness, equity in research participation, as well as privacy and confidentiality. Specific considerations also guide projects involving biological material.

In Canada, research ethics is governed by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS2), as well as by related institutional policies. It is normally up to the REB of each institution to carry out the research ethics review process of research and research-creation projects.

› **Have I acquainted myself with the standards and policies pertaining to my field, institution or the organizations funding my project?** These standards and policies, as well as related training (e.g., the TCPS2 online tutorial), are usually listed on the website of the university research and creation office or other similar entity.

IDENTIFYING RESEARCH ETHICS ISSUES

Since they are influenced by the specificities of the various RC practices and the posture of the RRC, the ethical issues encountered in research—just like those in RCR as a whole—can be more easily identified when they are considered from the outset of a specific context or project.

› **If my RC project involves humans or animals, what are the research ethics considerations involved?** Are these considerations related to a particular practice or creative, collaborative, etc., approach? If so, does this approach provide guidance or tools for addressing these potential risks? If this is the case, have I thought of bringing this up with the REB responsible for evaluating my project?

› **If my RC project involves living organisms (cells, bacteria, viruses, plants, animals, etc.), have I thought about obtaining the necessary certifications (e.g., relating to biosecurity in the laboratory or gallery)?**

› **Can interveners from my home institution, for example, RCR or REB officials, help me in considering these matters and in setting up the appropriate risk management strategies?**

› **Beyond the ethics review process, how can this ethical reflection benefit my RC project?**

POTENTIAL BREACH OF RCR

The proven violation of policies, laws or regulations governing research is considered a breach of RCR.

INSTITUTIONAL
RECOMMENDATIONS

RESEARCH ETHICS REVIEW

> Clearly identify the scope of research ethics review processes with regards to RC to facilitate communication between RRCs and officials in RCR and REBs.

> Adopt a more flexible and processual approach to ethics review that is better aligned with the reality of specific RC practices (e.g., by recognizing the fieldwork required to develop a preliminary problem statement), and adapt procedures and tools (e.g., consent forms) accordingly.

SPECIFICITIES OF RC

> Promote a joint reflection on the ethical considerations related to research arising from specific RC practices (rather than the other way around), and take into account the unique characteristics (e.g., methodological, epistemological, creative) associated with these projects.

> Conceive of the process of ethical review and approval of research more as an accompaniment to the success of RC projects, and allocate more resources to this support.

2.6.2 TRAINING AND STUDENT SUPERVISION IN RC

IN A FEW WORDS…

This section was added to cover a topic that came up repeatedly throughout the research project, namely the training and supervision of graduate students in RC, particularly in relation to RCR. The main sources of tension in this area are driven by issues of definition, posture and evaluation, identified previously (see *Points 2.2* and *2.5*). Students are a key population in RCR training, since the inclusion of these concerns early on in their academic training could reinforce a culture of RCRC.

WHAT DOES THE POLICY SAY?

The FRQ Policy does not specifically mention general training in research and research-creation. However, it emphasizes the shared responsibility of all researchers to promote RCR and to develop "best practices" in this area:

> Researchers must contribute to training future generations of researchers, students and research personnel, particularly the research teams under their supervision. Institutions hosting research actors are responsible for providing an environment favourable to the development of a culture of responsible conduct of research. Together, researchers and institutions are responsible for providing their community with access to the relevant information, mentorship and support needed to acquire these skills. An individual's level of responsibility should be commensurate with his competence and experience. (1)

PERCEPTION OF THE COMMUNITIES

The majority of respondents to our international RCRC survey, regardless of their profiles, had not received any ethical training in their creative practice at the time they completed the questionnaire. Conversely, the majority of respondents, internationally and in Canada, had received ethical training in research. The number of respondents who were in this situation, however, was lower in Québec. In addition, RRCs did not seem particularly well equipped in terms of research ethics, especially from the perspective of students and evaluators.

The majority of respondents had not encountered situations in which they felt they had no clear RCRC instructions. However, they felt that RCR issues may be more difficult to identify in RC. Finally, respondents expressed differing preferences about which RCRC tools should be implemented. **More data from the international survey is presented in *Section 4* of the Toolkit.**

TENSIONS BETWEEN RCR AND RC

This research project identified four main sources of tension with respect to RC training and student supervision, namely: 1) the coexistence of several RC approaches; 2) differences of posture among supervisors; 3) uneven training in research ethics; and 4) the complex recognition of RC and hybrid projects.

Various Approaches in RC

Once again, the various approaches in RC influence what will potentially be expected from the process of conducting, supporting and evaluating these projects. Moreover, the integration of RC in academic institutions still seems problematic, on the one hand, given the relatively recent establishment of programs in RC, some of which are still finding their bearings and, on the other hand, the difficulty expressed by many students in reconciling research and creative expectations within this process.

Diverging Posture of Supervisors

Differences in posture and culture—for example, between professors with a profile that is more creative than research-oriented, and vice versa (see *Point 2.2*)—also influence what is expected and proposed in terms of supervision, or awareness of RCR and related institutional policies. This can be problematic for students, who must reconcile these diverging points of view, especially when they have co-supervisors for a Master's or PhD in RC. A similar situation can also arise if members of a jury do not already have a good understanding of the characteristics of RC: the thesis defense runs the risk of deviating towards an argument about the nature of the research approach itself, rather than a discussion of the project that was submitted.

Uneven Training in Research Ethics

Our research also indicates that ethical training varies substantially from one RC curriculum to another. In the absence of clear information and adequate support, many students may be tempted to modify their RC project upstream in order to more easily receive approval by REBs. This can lead to feelings of misunderstanding about RC, or frustration.

Complex Recognition of RC and Hybrid Projects

Finally, the recognition of hybrid RC projects remains complex, as there are still numerous uncertainties regarding evaluation criteria or the support given to these approaches by professors and the home institution. There is also a problem with the full recognition of creation in RC approaches, as the creative component of the thesis is sometimes downplayed in comparison to the theoretical part. Some students mentioned having difficulty obtaining recognition for the uniqueness of their degree, or in accessing job offers related to their training.

> *"My thesis defense turned into a defense of research-creation. I was not prepared for this... It was disconcerting and frustrating."*
>
> – RC student

> *"It is essential to prioritize the training of students in RCR in order to effect change from the bottom. Once they are better informed, they will be able to share their knowledge with their supervisors."*
>
> – Researcher-creator

SYNOPSIS...

The training and evaluation of students in RC are subject to the same issues as in RC as a whole. One of the recommendations is therefore to pay particular attention to the specificities of RC and provide a framework adapted to the reality of these students. Student accountability with regard to the problems raised by their RC project, and the approach to solving them, should be supported by the constructive criticism of supervisors and jury members, and by an ethics of openness towards RC and the project itself.

It is also suggested that RCR training—addressing both research integrity and research ethics—be included in all programs early on, in order to clarify expectations for students, increase opportunities for discussion, and strengthen RCR culture among the next generation of RRCs. One suggestion is to take a seminar-based approach aimed at accompaniment, collaboration and dialogue, so that students can incorporate RCR considerations within the challenges they face in their own RC project. In contrast, one should be wary of "universal" or "one-size fits all" training that supposedly addresses all issues.

RELATED BREACHES OF RCR

» Breaches of Policies or Requirements for Certain Types of Research

These breaches of RCR are addressed in the case studies presented in *Section 3* of the Toolkit.

RCRC
CHECKLIST

The training of students in RC poses many challenges, in particular regarding the articulation between the research and creation components within their project, the reconciliation of the differing expectations of supervisors and jury members, as well as the uneven integration of RCR and research ethics training into the curriculum. Some avenues are proposed for further reflection to facilitate this integration.

FOR STUDENTS AND THEIR SUPERVISORS

> **Are expectations regarding the content of my dissertation or my RC thesis, as well as its evaluation, clearly specified?** This is especially important since most RC students propose a personal project, rather than being part of their director's research project, as may be the norm in other fields. This situation in particular raises issues related to the originality of their approach and authorship.

> **Have we taken the time to raise the issues of integrity and research ethics specific to my RC project?** If so, how can they be taken into consideration? Are there training programs or resource people in research integrity or in research ethics at my institution who can guide me? Are there colleagues who can share their experience regarding the ethics review process?

FOR SUPERVISORS AND JURY MEMBERS

> **In cases of co-supervision, are the supervisors' expectations clearly specified and understood by the student?**

> To prevent the thesis defense from shifting to a defense of RC, **do jury members have an adequate prior understanding of this approach and of the specificities of the project being evaluated?**

INSTITUTIONAL
RECOMMENDATIONS

GUIDANCE

> Pay particular attention to the specificities of RC so as to provide support that is adapted to the reality of students and to each practice and project.

> Question the type of training, skills and support expected by professors supervising RC projects or taking part in their evaluation (e.g., as a member of a jury).

RCRC TRAINING

> Reinforce the need for institutions and professors to accompany student training in RCR.

> Offer RCR training—including research integrity and research ethics—from the very beginning of the student's RC journey. This training could be based on a framework provided by the institutions and should favour an approach that accompanies students and that also takes into account the specificities of each RC practice and project.

3.RESOURCES FOR FURTHER REFLECTION
FOR FURTHER REFLECTION

This section brings together a number of resources and publications—mainly from Canada and Québec—to encourage further reflection on the topic of RCRC initiated in the Guide.

RESPONSIBLE CONDUCT OF RESEARCH (RCR)

Fonds de recherche du Québec (FRQ)

In Québec, the FRQ devotes several sections of its website to RCR. Very well documented and frequently updated, this includes links to training tools, relevant documents on RCR, and a list of RCR officers in Québec colleges and universities.

RCR: http://www.frqsc.gouv.qc.ca/en/ethique/conduite-responsable-en-recherche
RCR File: http://www.scientifique-en-chef.gouv.qc.ca/en/dossiers/conduite-responsable-en-recherche/
Ethics: http://www.frqsc.gouv.qc.ca/en/ethique
RCR Officers: http://www.frqsc.gouv.qc.ca/en/ethique/conduite-responsable-en-recherche/liste-universites

Secretariat on Responsible Conduct of Research (SRCR)

The Secretariat supports the work of the Panel on Research Ethics (PRE) and the Panel on the Responsible Conduct of Research (PRCR) in relation to the three federal research funding organizations (SSHRC, NSERC and CIHR). It is an essential gateway to Canadian RCR policies and initiatives.

Secretariat: http://www.rcr.ethics.gc.ca/eng/srcr-scrr/tor-cdr/
RCR Framework: http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/
Tri-Council Policy Statement (TCPS2): http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/
Research Involving Creative Practices: http://www.pre.ethics.gc.ca/eng/archives/policy-politique/reports-rapports/ricp-ripc/

In your university, college, or institution

Although the terminology may vary from place to place, most of institutions will have a vice-rectorate or an office of research, of research and creation, or even of research and innovation. Their websites should normally list the various institutional RCR policies and resources.

Other Resources:

United States — Office of Research Integrity (ORI): https://ori.hhs.gov/

Europe — European Code of Conduct for Research Integrity: https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf

International — World Conferences on Research Integrity (WCRI): https://wcrif.org/

RESEARCH-CREATION (RC)

ACFAS — Découvrir Magazine : Special issue on research-creation

Published in February 2018, this special issue is comprised of ten contributions on RC by professors and students. Among the topics discussed are the integration of RC into the academy, the challenges of attempting to define RC, and examples of specific practices presented by RRCs. (In French.)

> **RC Issue:** http://www.acfas.ca/publications/decouvrir/dossier/recherche-creation

Cartography of RC Project

This ongoing research project, led by Louis-Claude Paquin and Cynthia Noury, was initiated at the margins of the RCRC project. It proposes a cartography of the international literature on RC. Working maps organizing excerpts of texts analyzed around several terms such as *research-creation, artistic research, practice-based research, practice-led research and practice as research* are already available on the project site, together with their bibliography. The refinement of these maps will be followed by a cartography of RC practices. This website offers other methodological resources in RC developed by Prof. Paquin.

> **Cartography of RC:** http://lcpaquin.com/cartoRC/index.html

Select List of Other Publications on RC:

Borgdorff, H. (2012). *The conflict of the faculties: perspectives on artistic research and academia.* Amsterdam: Leiden University Press.

Chapman, O. B. et Sawchuk, K. (2012). Research-Creation: Intervention, Analysis and "Family Resemblances". *Canadian Journal of Communication*, 37 (1).

Gosselin, P. et Le Coguiec, É. (dir.). (2006). *La recherche création pour une compréhension de la recherche en pratique artistique.* Québec : Presses de l'Université du Québec.

Nelson, R. (2013). *Practice as Research in the Arts: Principles, Protocols, Pedagogies, Resistances.* UK: Palgrave MacMillan.

Stévance, S., Lacasse, S. et Dubé, F. (2013). *Les enjeux de la recherche-création en musique : institution, définition, formation.* Québec : Presses de l'Université Laval.

St-Hilaire, E. (2018). Who Should Care About Responsible Conduct in Research-Creation. *Revue d'art canadien / Canadian Art Review (RACAR)*, 43 (1).

PROJECT ON RESPONSIBLE CONDUCT IN RESEARCH-CREATION (RCRC)

Publications related to our research project will be posted on our website and archived on the Papyrus repository.

> **RCRC Project:** https://www.crr-rc-rcr.ca/
> **Papyrus — Institutional repository of the Université de Montréal: En.** http://hdl.handle.net/1866/20924 **Fr.** http://hdl.handle.net/1866/20923

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SECTION 3

TOOLS FOR REFLECTION IN RCRC

TOOL 1
RCRC CHECKLIST

TOOL 2
SUMMARY OF RECOMMENDATIONS FOR RCRC

TOOL 3
CASE STUDIES OF RCRC BREACHES

TOOL 4
PODCAST ON COI AND CC IN RC

RCRC
CHECKLIST

PRESENTATION
OF THE TOOL

This tool gathers together questions and practical considerations for researcher-creators (RRC) identified in the Accompanying Guide (see *Section 2*), to foster responsible conduct in research-creation (RCRC). Through the checklist, avenues for reflection are suggested to support "best practices" in research-creation (RC), with regard to the main themes of responsible conduct of research (RCR), in addition to highlighting potential breaches of RCR associated with each.

Although this tool can be used independently, we invite readers to also consult the Guide, which provides the context for RCR and the specific issues relating to RC.

ACRONYMS

CC
Conflict of commitment

COI
Conflict of interest

FRQ
Fonds de recherche du Québec

RC
Research-Creation

RCR
Responsible Conduct of Research

RCRC
Responsible Conduct in Research-Creation

REB
Research Ethics Board

RRC
Researcher-Creator

SRCR
Secretariat on Responsible Conduct of Research

TO CITE THIS TOOL

Noury, C., Roy, M.-C. and Cloutier, M. (2018). RCRC Checklist (Tool 1). In *Toolkit for RCRC: Summary of Issues in Responsible Conduct in Research-Creation and Proposed Tools for Reflection* (p.60-69). Montréal, Québec: Research Project on Responsible Conduct in Research-Creation: Providing Creative Tools to Meet the Challenges of an Emerging Field. http://hdl.handle.net/1866/20924

RCRC — CHALLENGES WHEN RCR AND RC MEET (2.1)

FAMILIARITY WITH RCR

› **Am I familiar with the concepts and terms pertaining to RCR, including integrity and research ethics?** Have I read the standards and policies provided by my institution or the organizations funding my project?

RCR, as it is described in this Toolkit, encompasses both the concepts of research integrity and research ethics. It generally refers to the conduct that is expected of researchers and other research actors in the performance of their activities. In particular, RCR addresses "best practices" in collaboration, authorship, use of data, publication, dissemination and evaluation of research, as well as the responsible use of the funding received, the respect of applicable policies, and the management of conflicts of interest and of commitment.

Consequently, among the "breaches" of RCR we find: fabrication or falsification of data, plagiarism, destruction of research records, redundant publication, invalid authorship, inadequate acknowledgement, mismanagement of conflicts of interest, misrepresentation in a grant application, mismanagement of funds, and the violation of policies, laws or regulations governing research.

These aspects of research are framed by provincial (e.g., FRQ), federal (e.g., SRCR), international and institutional RCR policies. Several institutions also have a designated RCR officer.

› RCR is based in particular on the notion of "responsibility". **What is my view of personal responsibility regarding my RC practice in relation to others, and from a civic, social, and creative perspective?** How do these different levels of responsibility fit into this specific project?

SPECIFIC ISSUES IN RC —
DEFINITION, POSTURE AND QUALITY
(2.2)

IDENTIFYING ISSUES IN RCRC

Since they are influenced by the uniqueness of the various practices in RC and the posture of the RRC, the issues in RCR can be more easily identified when they are considered from a specific context or project.

> **What are the issues, especially those in RCR, specific to my RC practice or in this particular project?** Am I able to identify them? To connect them to a particular creative or ethical posture? And prevent or manage these issues when necessary?

> **Would I be able to communicate this notion and this posture to an RCR officer, for instance?**

SELF-REFLECTIVE LOOK AT PRACTICES

Whether individual or collective, an on-going self-reflective look at the RC approach is necessary to better identify the responsibilities of the various actors and to prevent potential breaches of RCR.

A CULTURE OF COLLABORATION

Cultivating a culture of collaboration that takes into account the visions and interests of each project partner—as well as their evolution—can help prevent or resolve some issues that arise in RCR.

FACILITATING DIALOGUE ON ISSUES SURROUNDING RCRC

Given the diversity of approaches in RC, many stakeholders in the RCR community have expressed an interest in being coached towards a better understanding of RC. In my interactions with them, it can be beneficial to:

> situate my practice and its characteristics in relation to the more general field of RC, or within the creative or theoretical approaches it draws upon;

> specify the aims and expected results of my RC project, as well as certain elements to be considered during its evaluation;

> highlight the issues encountered in RCR, as well as their characteristics in the given context of RC.

CONFLICTS OF INTEREST AND OF COMMITMENT IN RC (2.3)

PREVENTING COI AND CC

Diverging interests do not necessarily lead to a COI. The important thing is to identify everyone's expectations and manage them appropriately. However, the appearance of a COI can be as damaging as an actual COI. Thus, it is best to avoid them from the start, if possible.

In order to identify and prevent COIs and CCs, it is recommended that one take a self-reflective stance on one's RC approach and seek out impartial advice from another person. For example, the following questions may help identify CCs in the first instance, and COIs in the second:

> **How do I reconcile my obligations as professor and my involvement outside the university?** Do these activities conflict with my main occupation? If so, what adjustments can I make?

> In the case of a professor collaborating with students — **Am I being neutral in my evaluation and supervision of their work with respect to my own creative activities?** Is my opinion biased regarding the quality and originality of their work because of my own?

IDENTIFYING AND MANAGING COI

The main stages of analysis and management of COIs are as follows:

1 Identification of conflicting interests
What are the interests at stake and who are the actors? Is there a conflict? What is the nature and degree of the conflict?

2 Risk assessment
If a potential conflict is identified, how significant is it? Can it be managed?

3 Establishing a management system
If the COI can be managed, a suitable management strategy should be implemented. Otherwise, it is best to get out of the situation.

MANAGEMENT TOOLS

Management tools for COIs and CCs may include: collaboration agreements and contracts, disclosure of interests, a disclosure of occupations and income from outside the university, etc. University offices of research and creation, or of valorization, can help RRCs in this undertaking.

POTENTIAL BREACH OF RCR

Proven mismanagement of a COI is considered a breach of RCR. Despite their proximity to COIs, remember that CCs are not a conventional topic in RCR and therefore do not constitute a formal breach of current policies. However, a CC could be problematic if it distracts the RRC from their obligations regarding their role or funding.

DISSEMINATION OF RC
(2.4)

AUTHORSHIP

Authorship concerns the modalities for attributing the status of author to the stakeholders in a RC project. To avoid misunderstandings, these issues should be discussed with the collaborators in advance, and regularly throughout the project.

> **Have any ideas or concepts underlying my RC project been developed by other people (e.g., students)? If so, have I discussed authorship with these people?** Should they be recognized as co-authors? What is the contribution threshold to be recognized as an author? Have other modes of granting authorship been considered (e.g., artist collective, pseudonym, anonymity)?

> **Did collaborators (e.g., students, technicians, artists, professors) contribute to any stage of my project?** How should I indicate their contribution?

> Are the terms of this collaboration, as well as the expected recognition, specified in writing prior to the project (e.g., in the case of initiatives between professors and students)?

Recognition for participating in a RC project can take many forms, namely acknowledgements, a list of collaborators, royalties, etc.

> **Did all the people I chose to mention in my project contribute significantly to its development?** Did some people (e.g., in a position of power) insist or put pressure to be included, even if their contribution was not significant? Are certain names cited to give the project prestige or attention, without their contribution being significant?

DISSEMINATION

> **In published articles or public presentations (e.g., symposium, cultural events, exhibitions, festivals) of an ongoing or completed RC project, did I adequately mention my co-authors and collaborators?**

> **Did I mention the funding bodies that allowed me to carry out these activities?** Omitting this information constitutes a breach of RCR.

DATA MANAGEMENT

What do I consider as my RC "data"?

> **Have I kept track of the ideas and creations that I want to develop, or of the various RC data and results from my project (e.g., consent forms if applicable, textual, visual or audio documents)?** If so, how will this data be archived? For how long?

In fact, it is preferable to keep track (on paper or digitally) of all these steps so as to more easily support "best-practices" of RC dissemination, or to prove authorship of a project in case of allegations of a breach of RCR.

> Although this is a good practice rather than a potential breach of RCR, **have I thought of documenting the essential components of my creation, whatever its form (e.g., technical specifications sheet to facilitate its reproduction or storage in a museum)?**

POTENTIAL BREACHES OF RCR

The fabrication, falsification, destruction of research records, plagiarism, redundant publication, invalid authorship or inadequate acknowledgement are considered breaches of RCR.

EVALUATION OF RC
(2.5)

RCR policies state that requests for funds and their ensuing management must be done in a transparent and honest way.

APPLICATION FOR FUNDS

> **Have all co-applicants, collaborators or partners listed in my funding application given consent to be included or to possibly participate in this project?** If, for various reasons, some withdrew or changes were made along the way, have I thought about notifying the granting agencies? Have I kept track of these withdrawals?

> **Have I been transparent about the nature of my RC project in my grant application?** Have I provided the necessary information to properly identify my RC approach and methodologies (e.g., taking into consideration its experimental, heuristic or processual aspects, or by specifying the expected results and validation criteria specific to the project)?

> **A RC approach can often have experimental and unforeseen elements, which forces the RRC to modify the project compared to how it was originally designed.** If my project has undergone significant changes or raises new research ethics issues, have I thought about notifying the REB?

MANAGEMENT OF FUNDS

> **After receiving funding, am I able to manage the funds in a transparent way following what was outlined in the grant?** Does project management rely on appropriate financial administration procedures or tools?

PEER REVIEW OF RC

> **When I am invited to be on an evaluation committee, am I able to examine the work of others with integrity?** Are the procedure and evaluation criteria clearly stated? Are the confidentiality measures and the ownership of the ideas respected?

POTENTIAL BREACHES OF RCR

False statements in a grant application, mismanagement of funds, or the proven violation of research policies, laws, or regulations are considered a breach of RCR.

RC PRACTICES AND
RESEARCH ETHICS
(2.6.1)

FAMILIARITY WITH RESEARCH ETHICS

> **Am I familiar with the concepts and terminology of research ethics?** Research ethics focuses mainly on the respect and protection of research participants, as well as animals and the environment. In the case of people, it focuses mostly on informed consent, fairness, equity in research participation, as well as privacy and confidentiality. Specific considerations also guide projects involving biological material.

In Canada, research ethics is governed by the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS2), as well as by related institutional policies. It is normally up to the REB of each institution to carry out the research ethics review process of research and research-creation projects.

> **Have I acquainted myself with the standards and policies pertaining to my field, institution or the organizations funding my project?** These standards and policies, as well as related training (e.g., the TCPS2 online tutorial), are usually listed on the website of the university research and creation office or other similar entity.

IDENTIFYING RESEARCH ETHICS ISSUES

Since they are influenced by the specificities of the various RC practices and the posture of the RRC, the ethical issues encountered in research—just like those in RCR as a whole—can be more easily identified when they are considered from the outset of a specific context or project.

> **If my RC project involves humans or animals, what are the research ethics considerations involved?** Are these considerations related to a particular practice or creative, collaborative, etc., approach? If so, does this approach provide guidance or tools for addressing these potential risks? If this is the case, have I thought of bringing this up with the REB responsible for evaluating my project?

> **If my RC project involves living organisms (cells, bacteria, viruses, plants, animals, etc.), have I thought about obtaining the necessary certifications (e.g., relating to biosecurity in the laboratory or gallery)?**

> **Can interveners from my home institution, for example, RCR or REB officials, help me in considering these matters and in setting up the appropriate risk management strategies?**

> **Beyond the ethics review process, how can this ethical reflection benefit my RC project?**

POTENTIAL BREACH OF RCR

The proven violation of policies, laws or regulations governing research is considered a breach of RCR.

TRAINING AND STUDENT SUPERVISION IN RC (2.6.2)

The training of students in RC poses many challenges, in particular regarding the articulation between the research and creation components within their project, the reconciliation of the differing expectations of supervisors and jury members, as well as the uneven integration of RCR and research ethics training into the curriculum. Some avenues are proposed for further reflection to facilitate this integration.

FOR STUDENTS AND THEIR SUPERVISORS

› **Are expectations regarding the content of my dissertation or my RC thesis, as well as its evaluation, clearly specified?** This is especially important since most RC students propose a personal project, rather than being part of their director's research project, as may be the norm in other fields. This situation in particular raises issues related to the originality of their approach and authorship.

› **Have we taken the time to raise the issues of integrity and research ethics specific to my RC project?** If so, how can they be taken into consideration? Are there training programs or resource people in research integrity or in research ethics at my institution who can guide me? Are there colleagues who can share their experience regarding the ethics review process?

FOR SUPERVISORS AND JURY MEMBERS

› **In cases of co-supervision, are the supervisors' expectations clearly specified and understood by the student?**

› To prevent the thesis defense from shifting to a defense of RC, **do jury members have an adequate prior understanding of this approach and of the specificities of the project being evaluated?**

SELECTED KEY POLICIES
TO BE CONSULTED

POLICY FOR THE RESPONSIBLE CONDUCT OF RESEARCH (2014)
Fonds de recherche du Québec (FRQ)

TRI-AGENCY FRAMEWORK: RESPONSIBLE CONDUCT OF RESEARCH (2016)
Three national research councils of Canada (CIHR, NSERC, SSHRC)

TRI-COUNCIL POLICY STATEMENT: ETHICAL CONDUCT FOR RESEARCH INVOLVING HUMANS (TCPS2) (2014)
Three national research councils of Canada (CIHR, NSERC, SSHRC)

SUMMARY OF RECOMMENDATIONS

FOR RCRC

PRESENTATION
OF THE TOOL

This tool gathers together the institutional recommendations identified in the Accompanying Guide (see *Section 2*) to promote responsible conduct in research-creation (RCRC). It proposes paths for reflection and action to better take into account the characteristics of research-creation (RC) identified within the context of our project, with regard to the main themes in responsible conduct of research (RCR).

Although this tool can be used independently, we invite readers to also consult the Guide, which provides the context for RCR and the specific issues relating to RC.

ACRONYMS

CC
Conflict of commitment

COI
Conflict of interest

FRQ
Fonds de recherche du Québec

RC
Research-Creation

RCR
Responsible Conduct of Research

RCRC
Responsible Conduct in Research-Creation

REB
Research Ethics Board

RRC
Researcher-Creator

SRCR
Secretariat on Responsible Conduct of Research

RCRC — CHALLENGES WHEN RCR AND RC MEET (2.1)

DIALOGUE BETWEEN RCR AND RC

> Promote more opportunities for dialogue between the RCR and RC communities to strengthen mutual understanding.

CONSOLIDATION OF RCRC

> Facilitate dialogue and discussions that jointly address research integrity and research ethics within RCR, rather than separately.

> Train and equip RCR and REB officials on RC and its specific issues, in collaboration with RRCs.

> Focus more effectively on supporting RRCs in taking into account RCR policies, particularly through a more positive approach that is focused on dialogue, collaboration and the clarification of the issues specific to each RC practice and project. This also implies that more resources be devoted towards this kind of support.

ADAPTATION OF POLICIES AND ACCESSIBILITY

> Reinforce the consideration of creative practices in RCR policies and clarify the specificities of RC in this context, where relevant.

> Systematically include RRCs or RC specialists on evaluation committees when allegations of breaches of RCR involve RC practices.

> When this is not the case, make RCR policies more easily accessible on the websites of institutions and universities, and develop training tools on RCR and RCRC for researchers and students.

SPECIFIC ISSUES IN RC — DEFINITION, POSTURE AND QUALITY (2.2)

UNDERSTANDING RC

> Prioritize a pluralistic, evolving and holistic view of RC focused on specific practices, projects and contexts, rather than a general definitional approach.

> Establish means to document projects in RC to increase understanding of this set of practices.

> More clearly define the connection between the various approaches within RC and the variations that may not belong.

LOOKING AT RCRC

> Look at RCRC from the perspective of specific practices in RC and see the dialogue between RCR and RC as being specific to each project and taking into account its characteristics and challenges.

> Highlight the relationship between the various practices in RC and the issues in RCR that are more closely related to them.

EVALUATION AND RECOGNITION OF RC

> Increase the recognition and appreciation of the various statuses and postures of RRCs (e.g., artist, researcher, professor).

> Promote openness to the different forms of dissemination and valorization of RC and take into account the specific aims of RC projects during their evaluation (e.g., by giving more weight to qualitative aspects).

CONFLICTS OF INTEREST
AND OF COMMITMENT IN RC
(2.3)

PREVENTION AND TRAINING

> Encourage a more positive perception and culture regarding COI and CC to foster dialogue on these issues.

> Encourage the idea that COI and CC prevention and management are the shared responsibility of researchers and institutions hosting research and research-creation activities, and provide the support needed to manage them beyond their purely bureaucratic aspects.

> Provide more training on COI and CC for researchers, particularly to facilitate their upstream prevention, and their identification and management.

CLARIFICATION OF EXPECTATIONS

> Clarify expectations towards RRCs, their roles and responsibilities, as well as the planned valorisation modalities for their contributions and their research and creation activities, to reduce the potential for COIs and CCs.

DISSEMINATION OF RC
(2.4)

CHARACTERISTICS OF RC

> Take greater account of the different possible objectives of RC dissemination—in keeping with the practices and intentions of RRCs—and the characteristics of these alternative modes of dissemination (e.g., going beyond the pursuit of "objectivity").

AUTHORSHIP

> Take into account the progressive forms of dissemination and authorship in creation and in the arts (e.g., co-creation, pseudonym, anonymity, artist collective), especially in order to adapt the definition of plagiarism in institutional RCR policies and to facilitate the prevention and evaluation of alleged breaches of RCR.

> Promote different levels of reflection and moments for discussing the attribution of author status and credit associated with RC projects (e.g., in advance, via REBs).

> Publicize decision-making tools regarding authorship attribution (e.g., Smith and Master [17]) among the academic and creative communities, to encourage dialogue on this subject in the various fields of research and, thus, facilitate collaboration.

DATA MANAGEMENT

> Adapt protocols and expectations regarding data management to the specific reality of RC practices and assist RRCs in implementing them.

EVALUATION OF RC
(2.5)

CHARACTERISTICS OF RC

> Take into greater account the characteristics of RC and its specific practices (e.g., its artistic, creative, collaborative or experimental value) in the evaluation and validation of this type of research. For example, this could include adding a qualitative component (e.g., interviews, a statement of intent, or a portfolio) to the evaluation process of RC projects, while maintaining common evaluation criteria.

EVALUATION COMMITTEES

> Establish evaluation committees adapted to the characteristics of RC, both in terms of processes and evaluation criteria, and include RRCs on these committees.

> Sensitize evaluators to the variety of RC approaches and practices in order to encourage the coexistence of multiple visions and a dialogue about them.

RC PRACTICES AND
RESEARCH ETHICS
(2.6.1)

RESEARCH ETHICS REVIEW

> Clearly identify the scope of research ethics review processes with regards to RC to facilitate communication between RRCs and officials in RCR and REBs.

> Adopt a more flexible and processual approach to ethics review that is better aligned with the reality of specific RC practices (e.g., by recognizing the fieldwork required to develop a preliminary problem statement), and adapt procedures and tools (e.g., consent forms) accordingly.

SPECIFICITIES OF RC

> Promote a joint reflection on the ethical considerations related to research arising from specific RC practices (rather than the other way around), and take into account the unique characteristics (e.g., methodological, epistemological, creative) associated with these projects.

> Conceive of the process of ethical review and approval of research more as an accompaniment to the success of RC projects, and allocate more resources to this support.

TRAINING AND STUDENT SUPERVISION IN RC (2.6.2)

GUIDANCE

> Pay particular attention to the specificities of RC so as to provide support that is adapted to the reality of students and to each practice and project.

> Question the type of training, skills and support expected by professors supervising RC projects or taking part in their evaluation (e.g., as a member of a jury).

RCRC TRAINING

> Reinforce the need for institutions and professors to accompany student training in RCR.

> Offer RCR training—including research integrity and research ethics—from the very beginning of the student's RC journey. This training could be based on a framework provided by the institutions and should favour an approach that accompanies students and that also takes into account the specificities of each RC practice and project.

REFERENCES FOR THIS TOOL

17. Smith E, Master Z. Best Practice to Order Authors in Multi/Interdisciplinary Health Sciences Research Publications. Accountability in research. 2017; 24 (4):243-67.

CASE STUDIES
OF RCRC BREACHES

PRESENTATION
OF THE TOOL

This document is intended as an educational tool for research-creation (RC) students, researcher-creators (RRC) in colleges and universities, and institutional representatives and members of the Responsible Conduct of Research (RCR) community. It is based on the main breaches of RCR found in the *Policy for the Responsible Conduct of Research* of the Fonds de Recherche du Québec (FRQ) (1): namely, mismanagement of conflicts of interest (COIs), invalid authorship, inadequate acknowledgement, fabrication and falsification of data, destruction of research records, redundant publication, plagiarism, misrepresentation, mismanagement, and breaches of policies and requirements. To these, our team found it necessary to add the mismanagement of conflicts of commitment (CCs), a specific form of COI that, at present, is not accounted for in the FRQ Policy, and is thus not officially considered a breach of RCR.

This tool is primarily intended to demystify breaches of RCR for the RC community and to increase understanding of the specificities of RC issues for the RCR community. The ten sections in this document therefore correspond to the ten breaches of RCR identified. We first provide a definition as well as concrete examples for each: these are very brief and can be related to RC or to a more general research context, but they clearly propose cases where there is a breach of RCR. The *Context and Issues* section serves as a prologue to the case study: it introduces the issue to be developed or discusses essential elements for the understanding of a specific aspect of RC for the RCR reader. It does not aim to be exhaustive or try to cover all possible contexts or issues related to any specific breach of RCR in RC, but rather to give examples.

This is then followed by a case study that presents a fictional RC situation where there is the appearance of a breach of RCR. The situation usually includes certain parameters that create uncertainty: the RRC might or might not be committing a breach of RCR. The case studies are thus an invitation to consider RC-specific parameters that might complicate the "application of RCR" and to understand their impli-

cation in evaluating RC breaches of RCR. These parameters are revisited in the subsequent section entitled *About This Case*, which may illustrate more subtle aspects of the situation and whether or not a breach of RCR has occurred. Each section concludes with a series of questions or factors to consider that encourage a more general reflection on breaches of RCR within RC.

It should be noted that although the case studies presented are specific to RC, many of the issues they raise will also be pertinent to other types of research in a university or college environment. In addition, the reader will sometimes find overlap between related breaches of RCR. Finally, since the characters and situations presented in these case studies are fictional, any resemblance to actual events or people is entirely coincidental.

ACRONYMS

CC
Conflict of commitment

COI
Conflict of interest

FRQ
Fonds de recherche du Québec

RC
Research-Creation

RCR
Responsible Conduct of Research

RCRC
Responsible Conduct in Research-Creation

REB
Research Ethics Board

RRC
Researcher-Creator

LIST OF CASE STUDIES

1. Mismanagement of conflicts of interest

2. Mismanagement of conflicts of commitment

3. Invalid authorship

4. Inadequate acknowledgement

5. Fabrication

6. Falsification

7. Destruction of research records

8. Redundant publication

9. Plagiarism

10. Misrepresentation, mismanagement and breaches of policies and requirements

FRQ DEFINITION
Failure to appropriately manage any real, potential or perceived conflict of interest in accordance with the Institution's policy on conflict of interest in research, preventing one or more of the objectives of this Policy from being met. A conflict of interest may concern an individual (personal conflict) or an institution (institutional conflict). A person or an institution can be in a conflict of interest—real or apparent—when their interests conflict with their duties and responsibilities. When in a conflict of interest, this person (or institution)'s objectivity in decision-making may be impaired, at least in appearance, which can raise questions about his or her integrity. Conflicts of interest include, but are not limited to, financial, political, ideological, or professional interests pertaining to the institution or the individual, his or her family members, friends, or former, current or prospective professional associates. (1) (Adapted from the FRQ Policy)

CONCRETE
EXAMPLES

> A university faculty member agrees to supervise his life-partner's thesis, also providing a letter of support for an FRQ scholarship application.

> A researcher pursuing a RC project develops an artistic practice to serve other interests (financial, added-value to their own reputation, etc.), which are not related to the research element of the RC project.

> A researcher fails to publish negative results so as not to harm the business that is financing the work.

> A professor promotes or hinders a student they are supervising because of ideological, religious, racial, or other reasons.

CONTEXT
AND ISSUES

The development of a RC project includes a theoretical research portion and a creative realization. However, it is often the case that only the research part of a RC project is financed by a research funder (e.g., FRQSC, SSHRC), as well as the "transmission, presentation and dissemination of the experiments conducted or results obtained in the context of RC projects". (12) (Our translation) Thus, the RRC may try to obtain additional funding elsewhere to cover the "creation" aspect of a RC project.

The university is responsible for ensuring the responsible conduct of all research in the institution; RCR is governed by federal (e.g., SRCR) and provincial (e.g., FRQ RCR Policy) standards. However, the university setting comes with its own set of expectations or requirements, particularly towards faculty, which can cause RRCs to overlook RCR. This is the case, for example, with some of the university's expectations towards professors, including the incentive to obtain more and more grants and to contribute to the institution's reputation by publishing. This may encourage professors to focus on "fundable" projects with publishable results, or to combine sources of funding that can, in some cases, foster conflicts of interest.

CASE STUDY
WHEN THE CHOICE OF MATERIALS INTERFERES WITH ARTISTIC FREEDOM

Professor C. is a member of a Music Department of a Québec university and specializes in the relationship between science, technology and experimental music. Through a research-creation project funded by a public granting agency, he is researching sonification of body movement, that is, the representation and transmission of data from the body in the form of acoustic signals. His experiments are based on performances, where several performers, accompanied by him, are filmed by infrared cameras. Using software created by the researcher-creator, data is gathered through the waves emitted by the bodies, and then translated into sound. The software also makes it possible to introduce a series of complex variations based on the interactions between individuals. This soundtrack is broadcast in the room, which in turn

affects the movements of the performers. In addition to receiving public funds, the researcher-creator benefits from private funding, through a company specializing in electronic and audio-visual equipment. This private source of funding is reported to the public funder. This funding is crucial, since it allows the professor to finance the realization of the performances, which is essential to his RC project. However, over the course of the performances, the researcher-creator feels increasing pressure from the private funder to modify his project. The company proposes that some of the technical equipment used by the artist be replaced by its own products in order to promote them. The company would especially like the artist to feature the qualities of a new thermal camera. This would oblige Professor C. to change significant aspects of his project, and lead him in a direction that he thinks is less relevant. However, he fears that refusing to acquiesce to the private funder's suggestion will lead to the loss of funding, which is essential to his project.

ABOUT THIS CASE

> Are the progress and relevance of the research, and Professor C.'s obligations towards the public research fund, compromised by the private funder's demands? If so, starting at what threshold, and to what extent?
> What means or strategies could Professor C., his institution and the company implement to reduce the threat to artistic freedom, and to better manage conflicts of interest?
> In the event that Professor C. chooses to privilege the use of the company's technical equipment in order to not risk losing this source of funding, he will be committing a breach of RCR.

FOR FURTHER REFLECTION

> In some cases, additional revenue from performances as an RRC could be added to the professor's salary.
     - If cumulative income is common practice in some areas, what is the case in RC?
> Are the amounts received from performances or other public displays too high compared to possible amounts offered by the public research funds to avoid influencing the practice or research of researcher-creators?
     - At what threshold is the RRC in a conflict of interest?
     - Do the amounts received create an obvious financial incentive to pursue the project motivated by demands from a second funder, rather than serve the advancement of research?
> Is there an "acceptable" percentage of private versus public funding?
> Are the university's expectations towards professors—in terms of research, creation, teaching, service to the community and outreach—clearly stated?

CONCRETE
EXAMPLES

> A faculty member uses the resources of a university research laboratory to advance research on behalf of a pharmaceutical company.

> A faculty member has their students do coding work, beneficial to the advancement of a video game project, that the professor is conducting in a personal capacity.

CONTEXT
AND ISSUES

The artistic practice of an RRC is often seen as an integral part of their RC projects. An art professor thus combines their mandate as a professor with a creative practice or with a related RC approach, which can be particularly time-consuming. In a RC project, it is a matter of how the professor can adequately accomplish the various aspects of their academic position (teach, supervise graduate students, participate on various committees, evaluate dissertations and theses, research and publications, etc.) while still carrying out their creative activities. Although some universities or departments may consider that artistic practice contributes to the university's prestige, it is not always clear how much space RRCs can really dedicate to creation in their academic life.

CASE STUDY
TIME, ARTISTIC PRESTIGE AND ACADEMIC RESPONSIBILITIES—HOW AND WHERE TO GET INVOLVED?

Professor M. is a contemporary artist and a professor in the visual arts department at a Québec university. During a given semester, the artist, who does not yet have tenure, has a chance to exhibit her interactive installations at the prestigious Museum of Modern Art (MOMA) in New York. This exhibition is a unique career opportunity. It will give great visibility to her work and contribute to her artistic reputation. Furthermore, exhibiting her work will allow Professor M. to further develop her research-creation project, through which the artworks were made. However, the organization of the exhibition in New York means that Professor M. is often away. Thus, she will not be able to fulfill her professorial obligations in the same way as if she had stayed in Québec. The time devoted to the exhibition will also prevent her from carrying out the other research projects to which she has committed, and she will also miss several weeks of teaching and departmental obligations (meetings, committees, etc.). One of Professor M.'s colleagues in visual arts will have to take over her teaching responsibilities during her absence, which is causing tension in the department. Also, for a significant period of time, Professor M. will be less available to supervise her Master's and PhD students.

Professor M. is worried about her promotion application. She also wonders what recognition she will receive for her creative work, teaching, research, publications and the potential prestige associated with the conduct of this RC project, as well as its dissemination. Although it is exciting, this RC project is particularly time-consuming and will produce limited publishable results. The researcher-creator is therefore torn between her obligations as a professor, her personal desire to give her work visibility, as well as the possible contribution to the university's reputation through this international event and presence in one of the world's most prestigious museums.

ABOUT THIS CASE

> How can Professor M. reconcile the various aspects of RC?
  - How many of the achievements related to this RC project will be recognized by her department?
  - Are all of these engagements realistic for the professor?

> What arrangements can the professor and her department make to help in the various aspects of her work?
  - What possible agreements would allow her to be fully involved in this RC project, and the exhibition, without penalizing her students and colleagues? E.g., supervisory meetings with graduate students via Skype; giving a summer course upon her return, etc.
  - Should the university offer Professor M. a half-time position, or think of other accommodations to encourage a better management of the conflicts of commitment?

> If her activities or travel prevent Professor M. from carrying out the complete program of activities (research, seminars, etc.) described in the FRQ grant application, she will be committing a breach of RCR.

FOR FURTHER REFLECTION

> Knowing that RC is in itself almost a double mandate, can one cumulate other mandates?

> Are departmental and university expectations towards researcher-creators clearly formulated? How could they be more so?

> How does one reconcile conflicts between the demands of academic and artistic reputations? Should researcher-creators choose one over the other?
  - If, in fact, artistic reputation has more benefits than academic reputation, there may be a conflict of evaluation criteria in addition to the conflict of commitment.

FRQ DEFINITION

Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution. (1)

CONCRETE
EXAMPLES

> Being named as an author of a work, of research or of a publication with little or no participation.

> To increase the chances of a favourable response, a grant application for a research project in neuroscience mentions several renowned researchers in the field, although they never confirmed their involvement in the project.

> To increase their bibliometric index, a faculty member asks one of their colleagues to return a favour by acknowledging them as co-author of an academic article even though they have not really made a contribution.

CONTEXT
AND ISSUES

Contribution to a RC project can take different forms. Sometimes, a small contribution to the project could be exaggerated by a researcher for a specific purpose. For example, in RC, benefitting from the reputation or fame of an artist, a researcher or a researcher-creator can bring added value to the project.

CASE STUDY
USING A "FRONT MAN" TO INCREASE CREDIBILITY — A PROBLEM OF AUTHORSHIP

Professor B. is a professor of communication in a college. She is researching the various communicational dimensions and degrees of interactivity in video games. As part of a research-creation project funded by a public body, Professor B., in collaboration with her students, has created a video game downloadable from various social media platforms. Through these platforms, the researcher wants to study the impact of appropriation and involvement by the video game community. After she discusses her dissemination strategies with a friend who works in the film industry, and who has designed some video games, the latter suggests adding his name to the project as co-author of the game. Professor B. concludes that her friend's reputation would have several positive spin-offs for the project as it would benefit from his contacts and popularity on social media. In addition, the game would have much more visibility, which could only increase the rate of participation in the study, and thus ensure enough data to reach conclusive results. Although the filmmaker does not really plan to get involved in the research project on a regular basis, he proposes attending a few team meetings. However, adding the filmmaker as co-author is strongly resisted by Professor B.'s research team, and creates tensions with those who have already done a substantial amount of the work from the beginning.

ABOUT THIS CASE

> Was the nature of the filmmaker's contribution discussed with the research team?
- What are the filmmaker's expectations vis-à-vis the research team? E.g., to be named in publications without having collaborated is a breach of RCR.
- What should the research team expect from this "front man" compared to, for example, students?

> Is the filmmaker ready to take on the responsibilities that go with the title he has been given? If not, the filmmaker is committing a breach of RCR.

> Could alternatives be considered by Professor B. so that her project benefits from her friend's reputation, without naming him as co-author? E.g., sponsoring specific events.
- What other ways could be used to thank him for his collaboration? Can other equally effective ways be considered to bring more visibility to the project?

FOR FURTHER REFLECTION

> In a RC project that involves several people, has the team determined minimum criteria for authorship (e.g., criteria to be considered as a co-author), versus criteria to be mentioned only in the project's credits or acknowledgements?
- Did team members discuss authorship issues sufficiently at various stages of the project?
- Are decisions about authorship discussed as a group or made unilaterally by certain individuals on the research team?

> In projects where a person not affiliated with a college or university is solicited, how can one ensure that this person "complies" with the university or college research culture, as well as with the rules and work ethic by which it is governed?

> In managing a conflict of authorship, does the disciplinary committee mandated to evaluate the case have all the necessary tools to understand the specific nature of the partnership established within this RC project?

> Is the authorship of the RC project attributed to people for reasons other than their ideas or time invested? If so, a breach of RCR has been committed.

CONCRETE
EXAMPLES

> In her doctoral thesis, an archaeology student used the results of a study carried out as part of an international research project, without mentioning the researchers who participated in it.

> The main researcher in an engineering project on the development of a revolutionary technological tool fails to acknowledge the technicians who helped make the final prototype.

CONTEXT
AND ISSUES

In the arts or in creation, the reputation derived from a creation and its conceptualization is particularly important. The creator often calls upon expertise in several areas to carry out the work, particularly in projects that require complex or specific knowledge or technologies. Even though collaborations are necessary for these projects, the culture of "sole author" persists: it is more prestigious for the artist or creator to be recognized as the only author of the work. In reality, however, while a single person may have thought of the central concept of a creation or its final form, a whole technical team from different fields may have given concrete shape to the artist's ideas. This culture, which favours the idea rather than its physical realization, can lead a creator to minimize or neglect the involvement of others in the project. This issue can also be found in RC, both with regards to certain aspects of "research" (soliciting specific expertise) and of "creation".

CASE STUDY
TEAMWORK AND CHOICE OF "AUTHOR(S)"

Mr N. is a researcher-creator in visual arts. He wants to create a robotic exoskeleton to investigate the possible transformation of the body by machines and explore the biological and cultural limits of the body. However, the researcher-creator does not have the necessary knowledge of robotics to carry out his project. He decides to hire a team of engineers, used to university collaborations, to help him build the prototype of the exoskeleton. Given the gap between the technical viability of the original concept and the actual feasibility of the exoskeleton, the participating engineers propose several alternative technical solutions. In addition, the engineering team identified the need for soft, lightweight materials, so the entire exoskeleton structure had to be modified to give the artist greater mobility during his performance. During the discussions, which involved a great deal of input from the engineers, not only was the appearance of the original prototype transformed, but so too were the key concepts and aspects of the project. Consequently, the final exoskeleton no longer resembled the original prototype as conceived by the researcher-creator. However, in conferences on his work or publications related to his project, the researcher thanked the engineering team in general but did not name them individually. The

engineers, who are used to working with professors in the life sciences, expected to be acknowledged as co-authors in these resulting publications. They feel unfairly treated and that their work was not adequately recognized. In contrast, Mr N. is used to a different authorship culture: he is always the only author of his works, projects and articles, even though he regularly works with a technical team. Thus, he proceeded as usual in this case, despite significant changes to the original project and concepts, which came about directly from his collaboration with the engineers. (*Project inspired by the work of Australian artist Stelarc*)

ABOUT THIS CASE

> In a collaboration between artists and scientists in a RC project, should the contributors have a creative role in order to be considered as co-authors?

- If so, how does one clearly determine what is or is not deemed to be creation?
- Is the contribution by the engineers sufficiently important for them to be considered as co-authors of Mr N.'s artworks or articles?

> Has the RC team determined minimum criteria for authorship? E.g., criteria to be considered as a co-author instead of only appearing in the project's credits or acknowledgements.

- Are decisions about authorship made during group discussions or unilaterally by certain members of the research team?

FOR FURTHER REFLECTION

> To be the co-author of an article, or any other production related to a RC project, is it necessary to have knowledge about the entire project in order to be able to assume responsibility?

> In a RC project, can we really separate the theoretical reflection from technical/technological/scientific realization, when the reflection feeds on one and the other?

> We can certainly think that there are different levels of involvement in a RC project: from the lead author who conceives the project to the people who support and contribute to its creation. But how does one recognize the indispensable work of these actors without minimizing the conception work of the creator?

- For example, what status can be assigned to a technical team and other assistants to adequately acknowledge their contribution to the project without minimizing the credit of the creator ("their idea")? Should this involvement be recognized at the same level?
- Should the level of studies (Bachelor's, Master's, doctorate) of students participating in a research project or in the development of a RC project affect the recognition given to their contribution or the value of their work?
- If formal acknowledgements do not seem sufficient, can we think of authorship models inspired, for example, by certain health science research, where the specific contribution of each author is mentioned? Can a system be developed to code specific contributions?

> In the management of authorship conflicts, does the disciplinary committee mandated to evaluate the case have all the tools necessary to understand the specific nature of the partnership established within this RC project?

> When authorship of the results of RC is not attributed to people who have invested their ideas or time in the project, a breach of RCR may have been committed.

CONCRETE
EXAMPLES

> A student fabricates testimonials related to their exhibition and includes them in their RC thesis.

> A faculty member fabricates results to support a research thesis in a grant application in order to increase their chances of receiving funding.

> A PhD student deliberately fabricates data concerning fake participants in their research project in order to increase chances of recruitment.

CONTEXT
AND ISSUES

There are cases in RC where a form of "fabrication" may be part of the researcher's process. Some projects may, for example, use subterfuge or a form of fiction as an aesthetic strategy to provoke the public, and thus bring people to reflect on a specific problem. In an exhibition venue, the public can expect this kind of strategy. However, in the social sphere and outside of such a context, the public may not understand the artistic dimension of the project and think of it as fraud. When fabrication is at the heart of an aesthetic approach, it is not a question of distorting data with a dishonest purpose, but rather an essential component of the process without which the artwork—and it's aesthetic—loses its meaning. Here, the data produced within the context of the creative aspect of a RC project are not intended as reproducible experiments that aim to contribute to the development of new knowledge, as is the case, for example, in the fundamental sciences or social sciences. That said, even if the RC process is based on fabrication or subterfuge, the rigour of the research, data, reflections and conclusions should not be affected in any way.

CASE STUDY
"FAKE NEWS" AS AN AWARENESS-RAISING TOOL

Ms K. is a PhD student in film studies. As part of her thesis in research-creation, funded by a public body, the student wants to study the use of a specific device as a subterfuge strategy in activist art. To do so, she creates eight short capsules that borrow the norms and style of documentaries. The reports take the viewer to the core of a scientific study on Arctic climate change, in which a powerful but unknown pathogen (resulting from glacial melting) has been discovered by the research team. The videos present the various stages of scientific research in a very concrete and detailed manner, in addition to interviews with experts in the field, who are very concerned about the situation—that is, the rapid spread of the pathogen and the impact on the health of populations in all Nordic countries. In fact, the videos are staged: the data presented are not real and the experts interviewed are actors whose words were entirely scripted by the doctoral student. Through her work, Ms K. wants to provoke a public reaction and raise awareness on the impact our lifestyles and habits have on the environment and, by extension, on population health. In stimulating a personal reflection on the part of viewers, the project seeks to awaken a collective consciousness. Ms K.'s work is presented in an art gallery, which already gives the public a clue to the aesthetic strategy being used. Added to this is an academic text (printed

on the gallery walls and in a booklet), addressing the potential power of subterfuge for the artist as a means to provoke social action. Meanwhile, to increase the visibility of the event, the gallery director suggests that the researcher-creator publish one of her videos on the web. Ms K., who does not wish to modify her work, would like the video to go online, as is. But she is aware that outside the context of the gallery, the contrived nature of the information presented may not be immediately understood as such, and could thus cause harm. She wonders about her freedom of action: should she include some form of warning or a note in the video to alert the public?

ABOUT THIS CASE

> How to reduce or avoid harm to the public? And to the scientific enterprise itself?
    - E.g., could Ms K. think of creative strategies (integrated at key moments as the work unfolds) so as to be transparent about the project's real goals and motivations, and also allow viewers to make comments?
> Is an approach that relies on pretence or fabrication really supported theoretically and artistically from the point of view of RC?
    - Does telling the public that the data was fabricated undermine the scope of the project or the project itself? Or even the public?

FOR FURTHER REFLECTION

> Is it acceptable to cause a "little" harm to the public for positive ends, i.e., to raise awareness?
    - How do we decide what level of harm is acceptable?
    - Who decides: the RRC? A research ethics board (REB)?
 > In cases where the fabrication of data is not part of the creative process (does not belong to the creative aspect), but concerns only the research part of the project (fake data or fake results), this is a breach of RCR.
    - E.g., a deliberately deceptive montage that would distort the perception of a project; the invention of statistics or theories supporting the argument or the demonstration of a researcher-creator.
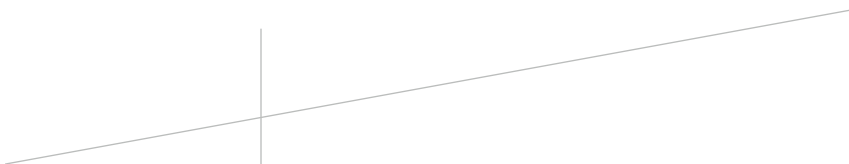
CONCRETE
EXAMPLES

> A graduate student manually modifies the values of certain raw data, from their research, in order to obtain results that are in line with the thesis defended as part of their Master's project.

> Photographs in a research report have been modified (colours changed and people removed) by the lead researcher without revealing that changes were made.

CONTEXT
AND ISSUES

As in the case of fabrication, it is possible that falsification may be part of an aesthetic approach taking the form of pretence or subterfuge intended to provoke a reaction or experience in the public. Thus, the transformation of data or images could be justified in a RC project if this manipulation is conducted in a responsible manner—and therefore not be seen as compromising the integrity of the research. It must be considered that, in certain cases, the unveiling of pretence or deception prior to a process will have a negative impact on the results of the RC. Indeed, the point of the process is precisely to distort reality and deceive the participant. Such an approach, however, is different from the falsification of data, which does not belong in any RC approach and, as in any research, would call into question the researcher's integrity.

CASE STUDY
THE INVENTION OF *POST-FACTO* TESTIMONIALS

Mr Z. is a Master's student in communication. For his research-creation thesis, which is funded by a granting agency, he is working on the concepts of intimacy and extimacy within the context of relational art, with a particular focus on the tension between the concepts of public and private spaces. He wants to study the psychological aspects of the various types of communication established with the public. These take place in the gallery: members of the public can enter a closed cubicle and be alone with the artist for a moment. Mr Z. begins the conversation by referring to the scars on his body and asks the visitor about theirs. He then tries to encourage the visitor to revisit the memories related to these scars, directing the discussion to happy and painful moments of the past. At certain key moments in the conversation, and depending on the details exchanged, he will also attempt to establish a physical connection with the participant, for example, by touching their hand or even hugging. One month after this series of interactions, which lasted several days, Mr Z. meets with his research director, Professor L. When the professor brings up the participants' comments about their experience, the student realizes that he completely forgot to gather these during the interactions. Indeed, during his very first meeting with Professor L., more than a year ago, she had briefly touched on this aspect of the research, stating that he should add testimonials in his final thesis as it is a requirement of the Department of Communication for research-creation theses that involve public interaction. Professor L., however, never again discussed this aspect with her student, even though it is an essential step to completing the thesis. Mr Z. panics and does not mention

his omission to his supervisor. To correct his mistake, he considers using informal testimonials from his circle of family and friends, making them sound more formal by modifying and improving them. He could then use these in his thesis, stating that they are anonymous testimonials obtained in writing from people who took part in the interactions.

ABOUT THIS CASE

> If Mr Z. decides to change his friends' and family's testimonials into formal ones, in addition to falsifying where they came from, this is a breach of RCR. However, the degrees of responsibility of each of the parties involved must be considered. Although Professor L. cannot be held accountable for her student's actions, it was nevertheless her duty to emphasize the importance of the testimonies in the methodology and to ensure that the student had understood the essential aspect of this step in his project. If Mr Z. tells Professor L. about his omission, he is not solely responsible for the decision, and he and his director can together find solutions. Falsifying one's data, regardless of the extent, compromises scientific integrity.
> Could falsification of the testimonies have been avoided?
> What are the possible resources to allow Mr Z. to continue his research or complete his thesis?

FOR FURTHER REFLECTION

> As with fabrication, we can imagine RC projects that use falsification to create a form of subterfuge as part of an aesthetic approach.
   - If so, is the pretence or fabrication approach really supported theoretically and artistically from the point of view of RC?
   - Is it realistic to disclose the fabrication of data to the public? Would that harm the scope of the project, the project itself, or the public?
   - In this context, does falsification harm the public or any other party involved in the project? If so, could this be avoided or minimized?
   - Are there ways of revealing pretence? Is it the RRC's responsibility to reveal the pretence?
   - How can one avoid harming the public, as well as the scientific enterprise?
> In RC, as in any other fields, there are significant ethical issues regarding the informed consent of participants in a research project.
   - For example, in a psychology research project, there is a justification for using subterfuge if it is the only way to conduct the research, provided that it causes minimal harm to the participants and that they receive information and concrete explanations after the study. What about RC? Do similar criteria apply?

CONCRETE
EXAMPLES

> For fear of losing their grant, a doctoral student knowingly hides and destroys research results that included human participants, aware that the research did not comply with the applicable policy on the protection of human participants.

> A faculty member knowingly conceals and destroys the results of an analysis done by another researcher to publish their own results first.

CONTEXT
AND ISSUES

In a research-creation project, as in any other research carried out in a university or college setting, one must keep all the administrative documents, important data and results related to the project. In the event of a conflict, a potentially problematic situation or an accusation of a breach of RCR, the RRC can then be transparent and, if necessary, make these documents and records available. Nevertheless, one of the peculiarities of RC is to question what is likely or not to constitute RC "data", its nature (e.g., textual, audio-visual, sensory), as well as its expected treatment. Similarly, it does not seem realistic to think that it is possible or necessary to keep all traces of a creation process, whether this be, for example, sketches or notes.

CASE STUDY
CONCEAL RESULTS TO ENSURE A PROJECT'S SURVIVAL

A university research laboratory in art, architecture, and design is conducting a major RC project funded by a public granting agency. This project focuses mainly on the use of technological materials in architecture, and on the related aesthetic, ethical and ecological aspects. During one of the phases of development and experimentation on various types of materials, the research team developed an "intelligent" concrete. Equipped with heating elements as well as sensors, the material can regulate its own temperature and appearance based on the climate conditions of its surroundings and on the body temperature of people nearby. Originally intended for artistic creation, the concrete is now deemed to have market potential, namely for the construction of floors in homes and public buildings. Mr P., a Master's student in design and a scholarship recipient of this research laboratory, is given the mandate to conduct a series of tests on floor covering prototypes. The results of these tests will be used to prove the proper functioning and viability of the technological material during an important presentation for a partnership with a private company interested in financing the last phases that are essential to the project's development and eventual commercialization of this new technology. In preliminary tests, Mr P. encounters some failures: sometimes the material responds poorly to the conditions to which it is subjected; it does not adjust appropriately to the surrounding information that it is supposed to collect. In addition, an electronic component integrated into one of the prototypes overheats and cracks the concrete. The student fears that he has mishandled things, or that he has not followed the instructions he was given appropriately, thus feeling that he is partly responsible for these repeated failures. He fears that by revealing the true results, the laboratory directors will

lose confidence in his abilities and decide to withdraw his Master's scholarship. In addition, he knows how much his superiors are counting on the partnership with the company to carry the project through, and finance related artistic experiments. Concerned that the inconclusive tests will hurt this partnership, the student feels trapped. He contemplates removing from his data the results of inconclusive tests and erasing all traces in the laboratory documents, without saying a word to the directors.

ABOUT THIS CASE

> In a situation where Mr P. decides to suppress the results of the inconclusive tests from his data, and to erase all traces in the laboratory records, he will be committing a breach of RCR.
> Although he may doubt the quality of the work he has done and is afraid of losing his funding, can the student really take full responsibility for the potential impact of the test failures? He should probably turn to his supervisors to report the results and share his personal apprehensions.
- What are his responsibilities towards his laboratory?
- What are the limits of these responsibilities?
- Was it the responsibility of the student's supervisors to verify that he had understood the procedures and protocol to be followed during the tests? Should they have put more emphasis on the importance of reporting results, regardless of their positive or negative outcome?

FOR FURTHER REFLECTION

> What is considered as data in RC?
- In the case of creative practices, is transparency always desirable and possible?
- Does the RRC have the obligation to document everything? What do they consider as research data in relation to a specific RC project?
- Can we really keep track of all the stages of a creative process, its results and the human interactions they involve?
- In general, has a data management and archiving plan been elaborated for a specific RC project?

CONCRETE
EXAMPLES

> A PhD student presented the same content in three different publications in the same year, without adequately citing previous publications.

> A faculty member of a university and a PhD student that they are supervising co-authored an article of which the student is the principal author. The article contains passages and data from three other articles, two of which were written by the professor and one by the student, without adequate mention of the use of these sources.

> A college researcher translated into English an academic paper of which they are the author, and which has already been published. They published it in English without mentioning its previous publication in French.

CONTEXT
AND ISSUES

It is part of the culture of the arts to present works repeatedly, in different contexts and places. The repetition of performances is important because it gives greater visibility to the work of the artist. Also, as a series of performances, for example, it can be part of a process of experimentation where each new performance can potentially add new elements to the overall reflection. Moreover, for some artists, even if the work itself remains the same, it is transformed according to the different presentation environments, which sometimes has the effect of partially modifying the meaning of the work. In some cases, the work can be described as *in situ*, that is, an artwork that is specifically made for a precise location.

CASE STUDY
THE VALUE OF A PERFORMANCE SERIES AND RELATED PUBLICATIONS

Professor T. has been an assistant professor for two years in the Dance Department of a Québec university. Her most recent RC project, for which she received funding from a public granting agency, focuses on collaborative dance experiments and the potential for co-creation with the public. As part of this project, she proposed a performance series that takes place in several different locations. During each performance, she studies how her interactions with the audience allow her to alter the work, transforming it into something different compared to the previous presentation. The end of each performance is accompanied by a short conference-discussion that allows Professor T. to explain the ideas that drive her research and discuss her insights and feelings as experienced through this short moment of co-creation with the public. This performance takes place during three different exhibitions across Canada and the United States, each resulting in the publication of an important catalogue containing a theoretical text by the professor. Apart from slight variations, the text is the same in all three cases. However, she wants the text to be included in all three catalogues, since it is both an important complement to her work and to the exhibits, and because it gives her a form of "added prestige". Professor

T., who is preparing her evaluation package for tenure review, expresses her concerns during a meeting with the director of the department. Since the RRC considers each performance in her performance series as unique, can she count them in her CV as individual works? Can the publications of the three catalogues also be included in her CV as three different publications?

ABOUT THIS CASE

> As part of a performance series, can each presentation or performance be considered as a single work?
  - Is the work properly cited as part of a corpus or series?
> Does the text found in the three exhibit catalogues always mention details of previous publications, or at least have the publishers been informed?
  - If yes, it is not a breach of RCR. It is permissible to publish the same text, parts of a text, or to present the same research results in different contexts, mentioning that it is not an original publication, or specifying that these results have already been presented, and giving full information on previous publications.

FOR FURTHER REFLECTION

> In most cases, journals or other publications expect original works from the author(s). However, it is possible to negotiate this with publishers, for example, if it is a publication in a different language, or for a very different audience. The important thing is that the process always be done in a transparent manner, that is, that publishers, like the public, be informed that it is not new content.
> This same process also applies to papers and conferences. Because of their usually "ephemeral" nature, limited reach, and lower impact, we more readily accept that similar content be repeated in different settings. However, the same content with the same title, presented to a similar audience (e.g., guest course repetitions) should not be presented as a new work, but as a re-presentation of an existing work. It is, therefore, always recommended to act in a transparent fashion.
> When a publication accurately reproduces the words or results presented in a conference or paper, it should also be mentioned.
> Should a performance presented several times (even integrally) normally be listed multiple times on a resume?
  - What about a theoretical text that is inseparable from a work?
> To what extent should the content or form of a text be different to be considered a new publication?

CONCRETE
EXAMPLES

> Using photos found on Instagram accounts, but which are not copyright free, only add a title, present them as part of a series, and sell them as one's own creation. *(Case based on the series "New Portrait" [2014] by artist Richard Prince)*

> In an article, a professor uses an original theoretical concept developed by their student. Taken from the student's ongoing doctoral research, the professor does not cite the name of the student and claims the theory as their own.

> A doctoral student based approximately 30% of their thesis on various sources, without appropriate mention of these sources and without citations.

> In their grant application, a faculty member copied content from another application, to which they had previous access as a reviewer.

CONTEXT
AND ISSUES

In RC, it can be difficult to clearly identify all the contributors to a project. A project can be influenced, inspired or based on ideas, data, information or concepts that can come from a variety of sources. There is also a panoply of common aesthetic processes that span multiple creative domains (e.g., from the visual arts to music) and that can complicate the issue of plagiarism in a creative context. Among these are citation, collage, appropriation, pastiche, ready-made, re-enactment, remix, sampling, etc. Each term refers to a specific aesthetic strategy, for example:

> Citation can be defined as a creative process that uses a work or part of a work for the purpose of appropriating it. It is the action of quoting, of referring, of reusing the idea of a work, fragments of a work, or the whole work as part of an aesthetic approach. The citation often denotes a desire to be part of history or to refer to it.

> Appropriation consists of appropriating an object, a medium or a work, and modifying it by adding one or more new elements. Appropriation usually adds a critical or even activist element to what is being diverted.

CASE STUDY
AN "HOMAGE" TO STUDENT CONTRIBUTION THAT BORDERS ON PLAGIARISM

Professor A. works in a Department of Visual Arts and Art History at a Québec university. As an artist and art historian who specializes in interactions between art, science and technology, he has been interested for some years in the links between art and biology. In this capacity, he is conducting a RC project, funded by a public granting agency, which focuses on new aesthetic and ethical possibilities brought about by the integration of living materials into art. In line with this research, he is offering a theoretical and practical seminar on the theme "Art and Biology", which brings together Master's and doctoral students from various disciplines. In several sessions during the seminar, the professor and the students discuss the transformative power of the living and conduct experiments with various traditional materials, to which living components are added. In one of these experiments, the student group discovers that by depositing bacteria and other microorganisms on paper photographs, which are then cultured in Petri dishes, the bacteria attack the photo paper, completely transforming the original images and giving rise to particularly interesting compositions. Fascinated by this process and by its results, Professor A. decides to use it in his own work. He creates a large installa-

tion that gathers several photos of various formats, transformed by the microorganisms. The artwork is part of an exhibition where he presents eight creations from his RC project. In the exhibition catalogue, Professor A. thanks the students from the seminar by highlighting how their fruitful exchanges inspired him. However, neither the artwork display labels nor the catalogue mention that the technique used was developed by the students. In addition, when the seminar students visit the exhibit, one of them realizes that the title of the installation is actually a sentence she uttered during the seminar. Another student sees that the exhibition uses ideas he developed as part of his written work for the seminar, those being included in the text that accompanies the installation without him being acknowledged. When asked about this, the artist, Professor A., seems perplexed: he confesses to not remembering that the title of his work was drawn from words spoken in class and assures everyone that he did not want to offend his student. As for the ideas presented in his text, he explains that it is for him a sort of homage, or tribute, to all his students, to their intellectual work and to the journey they have made with him. (*Technique inspired by the work of Québec artist Günes-Hélène Isitan*)

ABOUT THIS CASE

> Is appropriating a technical process a form of plagiarism?
> - Could the professor think that he, too, was the author of this technique, since he had participated by leading the experiments of his students?
> - Within the context of the exhibition, should Professor A. have specified that his students had invented this technique?

> When it comes to oral and not written words, how can one prove the authorship of an idea, a concept, or even a sentence?
> - To what extent can ideas raised during a discussion be appropriated? Is it automatically a case of plagiarism or merely being inspired by comments made during a conversation?

> In the case of Professor A., if he considered that his text was a true homage or tribute to his students, he should have mentioned it explicitly in writing.
> - In this case, there is little evidence of consistency between the aesthetics of the project and a form of homage (as an artistic aesthetic). How can it be proved that the professor acted in good faith?

FOR FURTHER REFLECTION

> In situations involving professors and students, how can one ensure that power issues do not undermine respect for the authorship of respective ideas?

> Whether it is collage, appropriation, pastiche, ready-made, re-enactment, etc., is the use of these aesthetics clearly expressed in the work of the RRC and anchored in their theoretical reflection?
> - For example, in the case where a "citation" is defended as an aesthetic strategy in the context of a project, it should contain relatively clear clues that refer to the cited (or source) work. Citation should indeed be recognized to be considered as a strategy. Therefore, a simple "duplicate" is not sufficient to be considered as such.
> - Where possible, and without hindering the underlying artistic process, has permission been requested from the artist or rights holders to reuse the work in whole or in part?
> - Are the works or elements quoted, copied or reused rights free?
> - When the RC or the artist receives money for the sale or marketing of their work or project, the issues raised by these forms of ownership may become more complex.

FRQ DEFINITION (Summary — adapted from the FRQ Policy)

Misrepresentation in an agency application or related document consists of providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report. It may also consist of applying for and/or receiving an award when deemed ineligible by the FRQ or any other research funding organization world-wide for reasons of breach of responsible conduct of research policies such as ethics, integrity or financial management policies, and finally listing of co-applicants, collaborators or partners without their agreement. (1)

Mismanagement of grant or award funds consists of using grant or award funds for purposes inconsistent with the policies of the FRQ; misappropriating grants and award funds; contravening FRQ financial policies; destroying relevant documents in an untimely manner or providing incomplete, inaccurate or false information on documentation for expenditures from grant or award accounts. It can also consist of providing false information in a grant or award application or related document, as well as the mismanagement of the grant received. (1)

Breaches of policies or requirements for certain types of research consist in failing to meet agency policy requirements or to comply with relevant policies, laws or regulations providing clear and compulsory directives for the conduct of certain types of research activities; failing to obtain appropriate approvals, permits or certifications before conducting these activities; failing to respect confidentiality agreements (these may relate to applicable legal provisions, the protection of animals, laboratory bio-safety, environmental standards and codes of professional conduct). In the case of research activities conducted outside Québec, all local laws and regulations must be respected within the Canadian institution and, abroad where research activities are conducted, local norms must also be considered. It may also consist of infringement of the integrity of a scientific peer review process and the awarding of funding; appropriating the work of another following FRQ committee evaluation; failure to respect confidentiality; or making malicious or knowingly false allegations of research misconduct. (1)

CONCRETE
EXAMPLES

> Falsely accusing a department colleague of a serious breach of RCR in order to damage their reputation.

> In a letter of recommendation for a doctoral scholarship for a student they are supervising, a thesis supervisor exaggerates certain experiences and collaborations of the student in order to increase their chances of receiving funding.

> Using part of a public body's funds obtained for a research project to cover personal expenses that do not relate to the funded research project.

> A doctoral student obtains a scholarship from a public granting agency to complete a PhD at a foreign institution. The student decides not to continue their studies, but does not inform the organization in order to still receive the first instalment of the scholarship.

> A doctoral student applies for research ethics approval, as their methodology requires numerous interviews. The student does not receive confirmation within the deadline that they had set, but decides to undertake the interviews anyway to avoid delays.

CASE STUDY
REFINANCING A COMPLETED PROJECT TO WIN IN FREEDOM

Professor F. is a writer and has been a professor in a Department of Literature of a Québec university for the last fifteen years. To her great regret, all of her recent grant applications for creative projects have been rejected. At the same time, she has enjoyed a great deal of success with funding for her research. Her colleagues often tease her about this, saying that she is no longer really a writer and that she has gone over to the side of "hard-core" researchers. Despite her desire to receive funding for a literary creation project, Professor F. feels overwhelmed and no longer in the race. Several years have passed since her last creative publication. She firmly believes that current funding for creative projects is too limited in proportion to the number of applicants, that competition has become extreme and unfair, and that it is always the same artists or creators who are awarded grants. She doesn't really know where she belongs or where she should turn as she is trying to legitimate her place among creators. When a public granting agency announces new funding specifically for research-creation projects, Professor F. sees this as an opportunity to get back on the creative track and at the same time showcase her research. She is considering proposing a project on experimental forms of writing, with continuous interaction between research and creation, that would result in a major collection of experimental poetic essays. However, Professor F. has already completed the theoretical research as part of another funded project, and so would only have to do the creative part of the project in order to be able to finally submit the work to a publisher.

ABOUT THIS CASE

> If Professor F. decides to send in her application, for which the research part has already been completed and for which she has already received a grant, she will have committed a breach of RCR, because she is making a false statement. The professor's sense of injustice does not justify her action.
- In the event that Professor F. receives and accepts this grant, it could become a case of mismanagement of funds and potentially a breach of policy.
- Similarly, it would be a breach of RCR if an RRC decided to submit a project application to a research-funding body and a creation-funding body at the same time, without mentioning this to one or the other, to obtain double financing.

FOR FURTHER REFLECTION

> Are funding opportunities appropriate and adapted to the specificities of RC, which must finance both a "research" and a "creation" component?

REFERENCES FOR THIS TOOL

1. Fonds de recherche du Québec (FRQ). Policy for the Responsible Conduct of Research [Online]. Fonds de recherche du Québec (FRQ). 2014 [cited in July 2018]. Available at: http://www.frqs.gouv. qc.ca/documents/10191/186005/Policy%2Bfor%2Bthe%2BRCR%2B%2BFRQ%2B2014.pdf.

12. Fonds de recherche du Québec – Société et culture (FRQSC). Research-creation support program (RC), fall 2017 [Online]. Fonds de recherche du Québec (FRQ); 2017 [cited in July 2018]. Available at: http:// www.frqsc.gouv.qc.ca/en/bourses-et-subventions/consulter-les-programmes-remplir-une-demande/ bourse?id=xylv8kis1497375460565.

18. Université de Montréal. Déclaration d'intérêts – Ce qu'il faut savoir [Online]. Université de Montréal ; [cited in July 2018]. Available at: http://www.interets.umontreal.ca/a_savoir/a_savoir.html.

PODCAST ON COI AND CC

IN RC

PRESENTATION
OF THE TOOL

Recorded live during the November 16, 2017 workshop, this podcast (in French) explores the conflicts of interest (COIs) and conflicts of commitment (CCs) encountered by researcher-creators (RRCs) in an academic context. In the spirit of our research project, this collaborative effort is derived from a conversation between stakeholders in responsible conduct of research (RCR) and in research-creation (RC). The cases presented are drawn from a call for proposals to the community. They are followed by an ethical analysis in the form of meta-commentaries whose objective is both to highlight the major issues to consider, in these types of situation, and to provide solutions to promote responsible conduct in research-creation (RCRC). The discussion continues via interactions with the audience.

SEGMENTS

00:10 › Introduction

02:00 › Case 1 — Creating, Teaching and Commercializing
What are Conflicts of Interest and Commitment? Summary of Definitions (08:35)

09:25 › Case 2 — Between Research and Interpretation
How to Prevent and Deal with COIs and CCs? Identification, Evaluation and Management

24:30 › Questions from the Audience

48:45 › Case 3 — Prevention and Creation
When Is it No Longer a Case of Conflict of Interest or Commitment?

55:15 › Summary and Conclusion

56:50 › Additional Resources

57:15 › Acknowledgements and Credits

AUDIO LINKS

RCRC Project Website
https://www.crr-rc-rcr.ca/baladodiffusions/

SoundCloud
https://soundcloud.com/user-898186392/balado-2-conflits-dinterets-et-dengagement-en-recherche-creation-montreal-novembre-2017

SECTION 4

ADDITIONAL INFORMATION

1. OBJECTIVES, DATA SOURCES
AND PROJECT METHODOLOGIES

PROJECT OBJECTIVES

The main objectives of this research project were first to identify the issues and challenges related to conflicts of interest, dissemination and evaluation that frequently arise in the context of RC, and then to determine their specificities. Next was to highlight the perceptions that RRCs have of these issues and the application of RCR principles in line with their practical experience. Finally, we wanted to identify the limits of existing institutional and national RCR policies, and develop RCR tools for reflection that were adapted to the realities of the RC community.

DATA SOURCES AND METHODOLOGY

This Guide is based on various research activities carried out by our team between 2016 and 2018 with the RCR and RC communities. Here, we present an overview. The information contained in this Toolkit comes mainly from an inductive qualitative analysis of all the project's data, except when a specific source is mentioned.

LITERATURE REVIEW OF RCR IN RC

A *scoping review* of the literature was conducted in Fall 2016 to identify RCR issues that are specific to RC and how they influence the practice of RRCs, as well as the latters' perception of RCR. Two search strategies, the first with keywords from RC and RCR, and the other using only those from RC, were implemented with ten databases, ranging from the humanities (e.g., *Scopus*) to the bio-sciences (e.g., EBSCO). Of the 2,523 articles initially identified, 181 were selected and coded for qualitative analysis.

INTERNATIONAL ONLINE SURVEY

An international bilingual survey (French and English) was conducted in April 2017 to identify respondents' perceptions of key topics in RCRC. The survey was aimed at three audiences: 1) researcher-creators (RRCs); 2) evaluators, regulators and commentators in RC; and 3) artists involved in RC projects. An invitation to participate in the survey was sent to more than 27,000 email addresses following a combined recruitment strategy employing a manual identification of key actors in RC and RCR, a bibliometric approach from publications related to RC, and collaboration with dissemination partners. The survey was completed by 755 respondents, primarily from Canada but also from 58 other countries. These data were then subjected to a quantitative statistical analysis. **An overview of the international survey data is presented in *Point 3* of this section of the Toolkit.**

RRC DISCUSSION GROUP

A discussion group comprised of eight RC professors, students and administrators was held in June 2017. The participants, presenting diverse profiles, came from three Montréal-area universities, namely, Concordia, Université de Montréal and Université de Québec à Montréal (UQAM). The content of this discussion was especially relevant for identifying the tensions and misunderstandings that arise from the integration of creation in the context of university research, particularly with respect to research ethics. The interactions were the subject of an inductive qualitative analysis.

REFLEXIVE CO-DESIGN WORKSHOP ON RCRC

Held in Montréal on November 16 and 17, 2017, this workshop brought together about one hundred participants. The objective was to gather the various RCR and RC stakeholders in Canada to initiate the development of training tools adapted to the reality of this practice, and to foster a culture of RCRC. The first day featured presentations from speakers in the arts, communication, bioethics, law and science, and funding agencies from Québec and Canada, to name a few; the goal was to lay the foundations for a dialogue between RCR and RC. The second day focused on co-design activities to share participants' knowledge, with the goal of creating RCRC training tools. The content of the presentations and discussions (which were audio recorded) during the workshop was the subject of an inductive qualitative analysis.

On this occasion, we also called upon both communities to record a podcast before a live audience on the topic of conflicts of interest and commitment in RC. The discussion was based on actual case studies and interactions with the public. **The podcast is presented in *Section 3*.**

REVIEW OF INSTITUTIONAL POLICIES IN RCR

A summary review of institutional policies in RCR was conducted in May 2018. The sample included the FRQ Policy published in 2014—and the Canadian and international RCR and research ethics policies cited therein—as well as those of the 20 largest Canadian universities in terms of the number of students enrolled in Bachelor's degree programs (19) and university members of the Canadian Association of Fine Arts Deans (CAFAD) (20). In total, the RCR policies of 49 institutions were analyzed, namely the 20 largest universities in Canada, including 18 CAFAD members, 21 additional CAFAD-only universities, and 8 provincial, national or international institutions. The purpose of this review was to verify whether these policies contained characteristics that were specific to RC and, if so, in what way. A secondary objective was to see if CAFAD-member universities (that is, those where arts practices are more common) were more likely to consider the specificities of RC in their RCR policies. These documents were searched for terms related to "creation" and "art", and the corresponding excerpts, if found, were analyzed. **An overview of the degree of integration of RC in RCR policies is presented in *Point 2* of this section of the Toolkit.**

2. OVERVIEW OF THE INTEGRATION OF RC
INTO RCR POLICIES

OBJECTIVES OF THE ANALYSIS

The purpose of the institutional RCR policy review was to ascertain whether these documents integrate the specificities of RC and, if so, how. A secondary objective was to see if member universities of the Canadian Association of Fine Arts Deans (CAFAD) (20), that is, universities where arts practices are more predominant, were more likely to consider the characteristics of RC. In total, the RCR policies of 49 Canadian and international institutions were analyzed. **An overview of our methodology is presented in *Point 1* of this section of the Toolkit.**

PROVINCIAL AND FEDERAL POLICIES

The Fonds de recherche du Québec (FRQ) mention the term "research-creation" only once in their RCR policy published in 2014, that is, in the presentation of general RCR principles. The FRQ makes no further mention of RC or how RCR principles could be applied in such a specific research context.

> Conduct research in an honest search for knowledge — Adopt a fair, open, and reliable approach in research or **research-creation**, as well as in all activities that support, fund, or otherwise encourage research. (1) (Our emphasis)

Moreover, out of all the RCR and research ethics policies cited in the FRQ's policy, only two mention the term "creation" or other relevant terms related to RC. The *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS2) defines creative practice and specifies the scope of the policy that applies to it, as well as linking ethical principles with the cultural sector.

> **Article 2.6:** Creative practice activities, in and of themselves, do not require REB review. However, research that employs creative practice to obtain responses from participants that will be analyzed to answer a research question is subject to REB review.

> **Application:** Creative practice is a process through which an artist makes or interprets a work or works of art. It may also include a study of the process of how a work of art is generated. Creative practice activities do not require REB review, but they may be governed by ethical practices established within the cultural sector. (21)

In addition, the *FRQ's Common General Rules* refer to "research-creation" only to define the status of researcher-creator (RRC):

> **Researcher-creator** status is also recognized for applicants who are regular faculty members of a Québec university or college, conduct **creative** or interpretative research as part of their employment and have their institution's authorization to supervise **creative research** projects and graduate students. (22) (Our emphasis)

Although these two policies have been updated since their inclusion in the FRQ Policy in 2014, the most recent version of the TCPS2 (4) does not make any additions specific to RC, while the definition of RC status is no longer included in the *FRQ Common General Rules* (23).

CANADIAN UNIVERSITY POLICIES

An overview of the RCR and research ethics policies of some forty Canadian universities revealed that the specificities of RC or, more generally, creative or artistic practices, are rarely addressed. Indeed, the keywords associated with RC are more often absent from these policies. When the terms "creative" or "creative/artistic practice" are used (e.g., University of Manitoba [24], Queens [25], ACAD [26], Brock [27], Memorial [28], Mount Allison [29], Thompson Rivers [30], Moncton [31], Victoria [32]), they are most often included in the definition of research or academic work, without further mention in the rest of the policy regarding examples of misconduct or risk factors specific to RC. Here is an example from the policy of the University of Manitoba:

> "Research" means research, scholarship and **creative works**, whether funded or not, which are associated with or undertaken under the auspices of the University, and in particular: (i) an undertaking intended to create or extend knowledge through a disciplined inquiry or systematic investigation; (ii) the systematic acquisition of knowledge through disciplined inquiry, or the dissemination of such knowledge through any means or medium; and (iii) an undertaking intended to result in **creative works** and activities. (24) (Our emphasis)

Only a few universities explicitly raise and frame RCR or research ethics issues specific to RC. The Alberta College of Art and Design (ACAD) (26) specifically mentions the ethical use of animals in the arts and refers to the policy of the College Art Association (CAA) in this regard. Emily Carr University of Art + Design (ECUAD) defines plagiarism specifically in the creative context, taking into account its potentially intentional dimension:

> In some contexts, plagiarism is restricted to the domain of writing—using the words or texts of others without giving proper credit to the source. **In an art, media and design context**, however, we expand this definition to include knowingly using another person's unique ideas, images, objects, designs, research, inventions, arguments, etc., as your own, without credit or acknowledgement… In some **creative practices**, appropriation of images, designs or text may be an intentional strategy, but these images, designs or text should not be represented as your original work. (33) (Our emphasis)

FINDINGS OF THE ANALYSIS

In short, the RCR policies of Canadian institutions and universities, those of the FRQ, and those upon which these are based are not, in the vast majority of cases, well adapted to RC. Nor are universities that specialize in the arts very different from the rest in their efforts to integrate creative considerations. A true integration of RC in these policies would involve the inclusion of the notions of creation, artistic practice or research-creation in the proposed definitions of research and academic work. These policies should also specify how the characteristics of RC could be taken into account in the context of RCR, for example, by proposing a modified definition for certain breaches of RCR.

In spite of this, it is still possible to take into consideration the characteristics of RC in the management of allegations of breaches of RCR. Indeed, many of the RCR policies studied describe how breaches are managed. When an allegation is filed, a review panel is brought together to evaluate it. Usually, a member from the same research community as the subject of the allegation sits on that committee. In this case, including an RRC on the committee could provide an "RC-based" understanding of the situation and partly compensate for the omission of considerations specific to this set of practices in RCR policies.

3. OVERVIEW OF
## RCRC INTERNATIONAL SURVEY RESULTS

SURVEY OBJECTIVES

The international online survey was intended for professors, researchers and students in the field of RC—who could also be described as researcher-creators (RRCs)—and the artists collaborating with them, as well as commentators, evaluators and regulators of RC. Its aim was to identify the diverse perceptions of these communities regarding the issues raised by conflict of interest (COI) situations, the dissemination of results and evaluation of RC, and any other challenges raised by RCRC. One of the objectives of the survey was to validate the results of the literature review relevant to the project, to outline less developed (or unaddressed) issues in the academic literature, and to explore RRCs' perceptions and understanding of RCR. In this section we provide an overview of the results, **while an overview of our methodology is presented in *Point 1* of this section of the Toolkit.**

INTERNATIONAL PERSPECTIVE

From the outset, it is important to emphasize once again (see *Section 1.2* on the introduction to RC) that the forms of recognition, support—particularly with respect to research integrity and ethics—and funding specific to RC vary greatly from one context and one country to another. Conducted with respondents from 59 countries, this survey is thus not limited to a Québec and/or Canadian perspective of RC; rather, it presents an overview of general perceptions, issues and deliberations about the topic, internationally.

RESPONDENTS' PROFILES

The 755 respondents came from 59 countries and were assigned to one of three main profile categories, based on their responses to the first set of survey questions. 58% were RRCs (Profile 1), 24% were RC commentators, evaluators or regulators (Profile 2), and 18% were artists participating in RC projects (Profile 3). Among the more than forty fields identified, RRCs and artists who responded came mostly from the humanities, music, visual arts, literature, media arts, technological arts, and research-action.
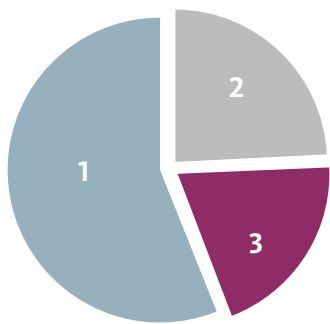
Profile 1

58% RRCs (professors, independent researchers or postdoctoral researchers, and students in RC)

Profile 2

24% Commentators, evaluators or regulators of RC

Profile 3

18% Artists

DEFINITION OF RC

From the outset, respondents from within all three profiles were asked to indicate their level of agreement with three definitions of RC, two of which are frequently employed in Québec and Canada. During the administration of the international survey, the proposed definitions, whose sources were hidden, were as follows:

> **Definition 1**
>
> Research activities or approaches favouring the creation or interpretation of literary or artistic works of any type. This approach is based on the exercise of a sustained creative practice, an intrinsic reflection on the elaboration and realization of new works or productions, and the dissemination of these works in various forms. It aims to contribute to disciplinary development through the renewal of knowledge or know-how, innovations of aesthetic, pedagogical, technical, instrumental or other kind. (34) (Adapted from FRQ—Support for Research-Creation, Fall 2015 Competition)

> **Definition 2**
>
> An approach to research that combines creative and academic research practices, and supports the development of knowledge and innovation through artistic expression, scholarly investigation, and experimentation. The creation process is situated within the research activity and produces critically informed work in a variety of media (art forms). Research-creation cannot be limited to the interpretation or analysis of a creator's work, conventional works of technological development, or work that focuses on the creation of curricula. (13) (Adapted from SSHRC—Definitions—Research-Creation)

> **Definition 3**
>
> Research-creation is a term that irresponsibly designates art as research so that artists can access research funding. The artists' works are self-sufficient—either they provide an aesthetic/cognitive experience for the audience or they do not (it is up to the viewer to decide)—but there is no way to prove [an artwork or artist] "wrong". The competent practice of art undoubtedly is a complex and demanding cognitive activity, but not all such activity is research, and nothing is gained by pretending that it is. (35) (Adapted from David Pariser)

The majority of international respondents supported the first two definitions. In fact, 83% and 91% of respondents were either mostly or totally in agreement with the first and the second definition, respectively. However, there was a greater consensus around the second definition: 41% of respondents were totally in agreement, compared with 26% for the first definition. Meanwhile, the majority of respondents (75%) totally or mostly disagreed with the third definition.

COLLABORATIONS

We asked people practicing RC (Profile 1) to indicate their status from amongst the following choices: PhD student, Master's student, postdoctoral researcher, professor, independent researcher or artist. Then, we asked them how important collaboration was in their work. Most Master's students (59%) and PhD students (57%) answered that they always worked alone, compared to only 15% of postdoctoral researchers, 28% of independent researchers and 22% of professors. Among the latter, 42% said that they always work as a team, and 36% said they work as much alone as part of a team. Lastly, people working in RC who identified more as artists said that they worked as much alone as collaboratively. The frequency of collaboration thus increased in proportion to the respondent's level of education, reaching its peak after graduation.

Professors, postdoctoral researchers and independent RC researchers reported working most often with others, as follows: with researchers (41%), with RRCs (33%), with artists or creators (26%). By comparison, students worked slightly more often with artists and creators (39%) than with researchers and RRCs (31% and 30% respectively). Other categories of collaborators reported by respondents in the survey were members of the public, engineers, art curators, managers, lawyers, etc. Interestingly, Canadian and Québec respondents reported working more with RRCs and artists/creators, compared to foreign respondents, who said they worked more with researchers.

ARTISTIC AND ACADEMIC FREEDOM

At the time of completing the international survey, the majority of respondents from all three profiles believed that academic freedom and artistic freedom were both important in RC. However, a larger proportion of artists (Profile 3) and students in RC (Profile 1) gave greater importance to artistic freedom than to academic freedom, contrary to commentators, evaluators and regulators (Profile 2).

About three-quarters of those practicing RC (Profile 1) and those commenting, evaluating and regulating it (Profile 2) did not believe that RCR policies were a barrier to artistic freedom (77% internationally, 74% in Canada and 75% in Québec) or to academic freedom (76% internationally, 84% in Canada and 86% in Québec). Similarly, more than half of all respondents did not believe that ethical requirements interfered with research or artistic work.

TENSIONS BETWEEN RESEARCH AND CREATIVE REQUIREMENTS

There was no consensus among international commentators, evaluators, regulators, professors and students in RC as to whether research requirements were compatible with those of creation. In fact, the answers were divided and about a quarter of the respondents in each profile were neutral. However, in practice it appears that these two components are more likely to create tensions for people practicing RC (Profile 1) who self-define more so as artists, compared to those who identified themselves as students or researchers. In fact, when the people working in RC were divided according to their status, a vast majority of those who identified as Master's students, doctoral students, postdoctoral researchers and professors, (respectively 82%, 76%, 85% and 84%) said that they did not experience a situation where their research was in conflict with their creation. By comparison, 41% of those who identified more so as "artists" said they had experienced such a situation. These differences in perception may be associated with an issue of posture (see *Point 2.2* in *Section 2*).

LEVEL OF UNDERSTANDING OF CONFLICTS OF INTEREST

People practicing RC (Profile 1) were surveyed about their level of understanding of conflict of interest (COI). Their understanding appears to be associated with the level of education, since professors, independent researchers, and postdoctoral researchers practicing RC had a better understanding of COI than Master's students. However, people practicing RC and identifying as artists had a moderate understanding of COI.

WITNESSES OF CONFLICTS OF INTEREST, FRAUD OR PLAGIARISM

RRCs (Profile 1) were polled to determine whether they had witnessed COIs, fraud or plagiarism. The vast majority of RRCs surveyed, between 70% and 96%—depending on whether they were artists, Master's or doctoral students, postdoctoral researchers, professors or independent researchers—stated that they had never experienced a COI. However, a greater percentage had witnessed COIs in their institution: 52% of artists, 38% of Master's students, 33% of doctoral students and 29% of professors.

Regarding fraud, the majority of respondents had not heard of colleagues who modified a project to make it eligible for a competition without intending to comply with the conditions of the award, for example, by applying for a research grant for a purely creative project. Several respondents, however, chose not to answer this optional question.

With regard to plagiarism, we asked RRCs (Profile 1) to identify their posture on the "researcher-RRC-artist" axis, and then indicate if they had ever witnessed plagiarism. If we take into account all the respondents, we can see a certain symmetry around the central point of the axis: the RRCs who iden-

tified more as researchers had more-often witnessed plagiarism, while those who identified more so as artists mostly said that they did not witness it. Meanwhile, Québec-based RRCs who identified more so as researchers said they had witnessed proportionally less plagiarism compared to all respondents who identified as RRCs. Finally, the number of participants who had witnessed plagiarism varied according to the population: in Canada and Québec, more than two-thirds of the respondents, regardless of their position on the "researcher-RRC-artist" axis, had never witnessed plagiarism, compared to 45% of international respondents.

AUTHORSHIP

About 80% of respondents were somewhat or totally in agreement with the statement that artists should automatically be recognized as co-authors of resulting academic articles when they participated in the research. However, the consensus was slightly lower when questioned whether researchers should automatically be recognized as authors or creators of works of art resulting from collaborations (about 70% were somewhat or totally in agreement). In addition, the majority of respondents to the international survey did not believe that RC project participants should automatically be recognized as co-authors of academic articles or works of art.

EVALUATION OF RC IN RCR

More than 70% of respondents to the international survey, all profiles combined, agreed somewhat or totally that artistic production should be taken into account in the identification, evaluation and management of RCR issues. These proportions were similar internationally, in Canada and in Québec. In fact, more than 70% of respondents indicated that both academic and artistic productions should be recognized and valued.

Responses were mixed as to whether the research ethics review of RC projects adequately considered artistic merit in risk-benefit assessments. Indeed, commentators, evaluators, and regulators were mostly in agreement that this evaluation sufficiently took into account artistic merit, that is, 54%, 61% and 62% respectively. This proportion dropped to 49% and 39%, respectively, for researchers and students in RC. That being said, these same categories of respondents somewhat disagreed with the statement, with 37% among commentators, 30% among evaluators, 32% among regulators, 40% among researchers and 51% among students, respectively.

The majority of respondents, internationally, in Canada, and in Québec, all profiles combined, indicated that RRC submissions should be evaluated by RRCs. In addition, according to respondents, the evaluators of grants and scholarships, and members of nomination or promotion committees and of RC thesis juries were more often lacking artistic than academic expertise.

ETHICS TRAINING

At the time of completing the survey, the majority of respondents had not received ethics training as part of their artistic practice, either internationally, in Canada or in Québec. Conversely, the majority of international respondents (80%) and Canadian respondents (62%), but only half of Québec respondents, had received training in research ethics.

In addition, to the question asking whether RRCs were generally aware of the ethical issues raised by their RC projects, commentators (49%), evaluators (52%), regulators (32%), researchers (44%) and students (51%) were somewhat in agreement that they were. Interestingly, the responses were more divided from the perspective of regulators, whose opinions were roughly equally divided between "somewhat disagree", "no opinion", and "somewhat agree".

PERCEPTION OF RCRC GUIDELINES

The majority of international respondents practicing RC (Profile 1) had not encountered situations in which they felt they did not have clear direction regarding RCRC. Similarly, the majority (65%) of the same respondents had not experienced situations where a lack of ethical guidelines was problematic. However, a large proportion of respondents, both internationally, in Canada and in Québec, felt that RCRC issues may be more difficult to identify because of the nature of RC projects.

There was a sharp division between the people practicing RC on one side and commentators, evaluators and regulators on the other in terms of perceptions of the guidelines. Indeed, people practicing RC were more divided about whether such a framework infringed upon the creative freedom of RRCs, while the others were somewhat in disagreement or had no opinion on the issue.

NEEDS AND PREFERENCES FOR RCRC TOOLS

Respondents in Profile 1 and Profile 2 were asked if RRCs were equipped to deal with ethical issues arising from their projects. The answers were split. While commentators were divided between "somewhat disagree" and "somewhat agree", a significant proportion of evaluators "somewhat disagreed". Regulators and researchers were rather "neutral", while students were mostly split between "somewhat disagree" and "no opinion". In Québec, the responses, all categories combined, were 34% "somewhat disagree", 36% "no opinion" and 22% "somewhat agree". Overall, RRCs did not seem to be particularly well equipped in terms of ethics, especially from the point of view of students and evaluators.

Finally, respondents to the international survey were asked to identify, from a pre-established list, their preferences for types of RCRC training tools. For people practicing RC, and its commentators, evaluators and regulators (Profiles 1 and 2 combined), best practice guides were the most popular forms of RCRC training material (21%), followed closely by workshops bringing together representatives of RC, RCR, and research ethics (19%). This was followed by graduate training, mentoring by senior RRCs, and training in the drafting of research ethics applications (13%, 12%, and 10% respectively). Only 5% of respondents indicated that they did not need tools to improve RCRC.

In general, the webinar was the least popular type of potential support. Regarding the preferred mode of dissemination of tools, online resources were nevertheless slightly more popular than those offered in person. Finally, individual resources were almost as much sought after as collective resources.

SYNOPSIS...

In summary, the general perception by respondents of the international survey was that RCR and research ethics standards are not a barrier to "artistic" or "academic" freedom. On the other hand, there was no consensus on whether the requirements of research were compatible with those of creation. We also observed that the posture of RRCs—whether they see themselves more as researchers or as artists—and their level of experience influenced their perception and understanding of RCRC issues. Perception also varied between people practicing RC and those who were asked to comment, evaluate or regulate it. The results of the survey were relatively similar internationally, in Canada and in Québec. **Several of these topics are developed in *Section 2* of the Toolkit.**

Finally, a preliminary analysis of these results allowed us to highlight three main needs for the management of RCR in RC, namely: 1) reflecting on the characteristics of traditional issues in RCR when they appear in RC; 2) taking into account the creative nature and the specificities of RC projects across all RCR topics; and 3) developing training tools for the RC and RCR communities to bridge existing gaps through an approach that promotes dialogue and the recognition of the various postures that influence RCRC perception.
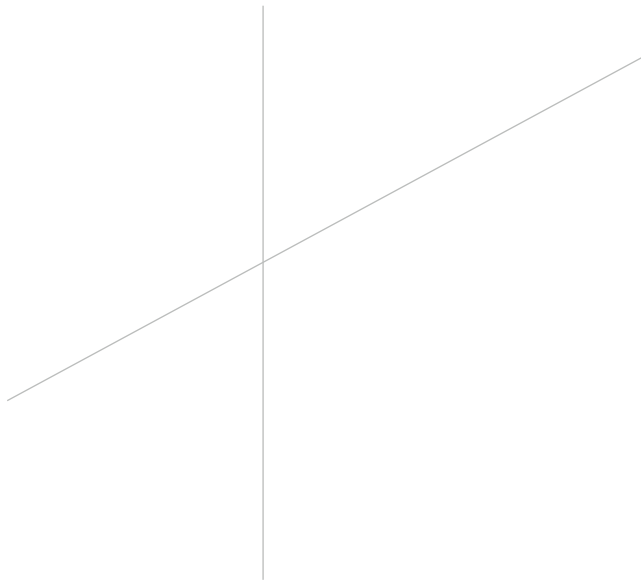
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