

CASE STUDIES OF RCRC BREACHES



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ABOUT

This Tool is extracted from the Toolkit for RCRC produced as part of the research project *Responsible Conduct in Research-Creation: Providing Creative Tools to Meet the Challenges of an Emerging Field*. It was funded by the Fonds de recherche du Québec (FRQ) as part of the Concerted Action *La conduite responsable en recherche : mieux comprendre pour mieux agir* (2016-2018) [Responsible Conduct of Research: A Better Understanding for More Effective Action — 2016–2018]. A co-design workshop held in November 2017 was funded by the Social Sciences and Humanities Research Council of Canada (SSHRC) and several institutional partners.

The Toolkit for RCRC provides an overview of the issues of responsible conduct in research-creation identified through this initiative. It is complemented by four detachable, practical reflective tools aimed mainly at the responsible conduct of research and research-creation communities.

Toolkit French version

<http://hdl.handle.net/1866/20923>

Toolkit English version

<http://hdl.handle.net/1866/20924>



La recherche-création responsable
Responsible Research-Creation



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-

TO CITE THIS TOOL

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TO CITE A SPECIFIC CASE STUDY

Cloutier, M., Noury, C. and Roy, M.-C. (2018). [INSERT NAME OF RCRC BREACH] in Case Studies of Breaches in RCRC (Tool 3). In *Toolkit for RCRC: Summary of Issues in Responsible Conduct in Research-Creation and Proposed Tools for Reflection* (p.78-103). 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>

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?

DEFINITION

Specific form of conflict of interest. Conflicting obligations that occur especially when external activities conflict with professional activities, for example, when a member of the administration devotes their work hours to personal activities or when a researcher uses university materials or staff for their private projects. (18) (Our translation)

* It should be noted that this specific form of conflict of interest is an addition by our team. As it is not currently accounted for by RCR policies, the mismanagement of conflicts of commitment (CC) does not constitute an official breach of RCR.

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.

FRQ DEFINITION

Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications. Inadequate acknowledgement also includes failure to mention the source of funding of the research activities, as required by the funding agencies. (1)

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.

FRQ DEFINITION

Making up data, source material, methodologies or findings, including graphs and images. (1)

**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 its 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



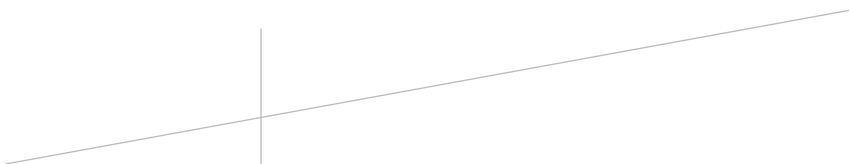
on the gallery walls and in a booklet), addressing the potential power of subterfuge for the artist as a means to provoke social action. Meanwhile, to increase the visibility of the event, the gallery director suggests that the researcher-creator publish one of her videos on the web. Ms K., who does 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.



FRQ DEFINITION

Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions. (1)

**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?

FRQ DEFINITION

The destruction of one's own or another's research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards. (1)

**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?

FRQ DEFINITION

The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgement of the source, or justification. (1)

**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?

FRQ DEFINITION

Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate referencing and, if required, without permission. (1)

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?

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TO CITE THE ENTIRE TOOLKIT

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