

Selkirk College Policies and Procedures		Title and number	8710 – Integrity in Research	
		Replaces	New	
		Effective	September 2006	Next review
Executive Responsibility	Administrative Responsibility	Recommended by Policy Review Committee		October 11, 2006
Vice President – Academic and Student Development	Vice President – Academic and Student Development	Recommended/Approved by Education Council		November 14, 2006
		Approved by President		November 16, 2006

1 POLICY

Selkirk College is committed to high standards of integrity, accountability and responsibility in the conduct of any College-sanctioned research that is done by College faculty, staff or students, or by any other scholars that have a formal association with the College. This means, but is not limited to:

- Giving appropriate recognition, including authorship, to those who have made an intellectual contribution to the research;
- Respecting copyright laws;
- Conforming to the College guidelines in conducting research involving human subjects, and research involving animals;
- Using research funds in accordance with the terms and conditions under which those funds were received; and
- Using scholarly and scientific rigour in collecting, recording and analysing data and in reporting results.

2 PURPOSE AND SCOPE

The underlying principle of scholarly research is the pursuit of truth. Objectivity, honesty and integrity are essential to the conduct of research and must be maintained throughout the investigative process. Misconduct undermines public confidence in the scholarly research, the integrity of the investigative process, and the stewardship of funds that support the research.

The purpose of this policy is to state the College's expectations regarding the conduct of research at, or on behalf of, the College and to prescribe a means of dealing with allegations of perceived or actual misconduct in scholarly research.

The policy applies to all College faculty, students and staff engaged in College-sanctioned research, as well as to scholars who accept a formal association with the College for the purpose of carrying out research.

3 DEFINITIONS AND ACRONYMS

College	Selkirk College
Research	A systematic investigation to establish facts, principles or generalizable knowledge.
College-sanctioned research	Research that has received formal endorsement of the College (e.g. through the Research Ethics Board), and/or that is being funded on the basis of an association with the College (e.g. through an NSERC grant) and/or that uses significant College resources (e.g. faculty release time, financial or human resources for data collection or analysis). The fact that an employee makes occasional or minor use of College resources (e.g. searching the Internet for information that may be used for personal

	research) does not constitute “College-sanctioned research.”
Researcher	Any College employee or any scholar who has a formal association with the College, and who is involved in research that is carried out at, and sanctioned by, the College.
Vice President	Where used in this policy, the “Vice President” refers to the “Vice President, Academic and Student Development”

4 RESPONSIBILITIES

4.1 RESPONSIBILITY OF THE COLLEGE

The College’s responsibility is to develop awareness among researchers and students involved in College-sanctioned research of the need to maintain these standards, to provide for a fair and timely process to investigate allegations of misconduct and to take appropriate action where misconduct is determined to have taken place. To promote the understanding of integrity issues, the College will circulate a copy of this policy to all faculty members; in addition, the College will conduct information sessions with School Chairs and offer professional development workshops to interested researchers. We will ensure that researchers who submit research proposals to the Research Ethics Board are advised of the need to understand and comply with the terms of this policy.

4.2 RESPONSIBILITY OF THE RESEARCHERS

The responsibility of the researchers is to familiarize themselves with the College’s expectations as described in this and associated policies, particularly those concerning ethical issues in research dealing with human subjects (# 8700) and animals (# 8720)¹ and to adhere strictly to the procedures provided within. As well, researchers must ensure that all students conducting research under their supervision are made aware of the College’s expectations regarding integrity, accountability and responsibility in the conduct of scholarly activities.

In order to minimize the possibility of misconduct, researchers must develop appropriate research procedures, understand the legal and ethical aspects of their research and inform team members of their individual and collective roles and responsibilities. They must also devise appropriate procedures for the collection, storage and retrieval of original and computed data, ensuring its accuracy and effective attribution. They must also make every effort to ensure the accuracy of research results.

Finally, researchers are also responsible for dealing fairly with all issues related to authorship, such as:

- Protecting the College’s interest in the research;
- Attributing authorship amongst the research team, of all publications, prototypes, patents, and/or other products;
- Providing appropriate recognition to the collaborators, co-supervisors, students and staff for their contribution to research; and
- Considering the legal and ethical implications resulting from the authorship of research results.

5 DATA COLLECTION GATHERING AND RETENTION STANDARDS²

The retention of accurately recorded and retrievable results is of the utmost importance for the progress of scholarly inquiry. A researcher must have access to his/her original results in order to respond to questions regarding their research. Errors may be mistaken for misconduct when the primary experimental results are unavailable.

- Primary data should normally remain in the School or relevant research unit at all times and should be preserved as long as there is a reasonable need to refer to them. Results should be recorded accurately and, where the medium permits, be retrievable for five years following publication. In no instance should primary data be destroyed while investigators, colleagues or readers of published

¹ Policy #8720 – “Animal Care in Research and Teaching” is under development at this time.

² The content of this section and of the one that follows has been adapted from the Red River College policy on Integrity in Research and Scholarship and is used with permission.

results may raise questions answerable only by reference to the data except in the case where there is a bona fide requirement for confidentiality.

- Entitlement to ownership, reproduction and publication of primary data, software and other products of research will vary according to the circumstances under which research is conducted. A common understanding of ownership should be reached among collaborators, supervisors, students and the College before the research is undertaken, taking into consideration Selkirk College's policy on Intellectual Property and Copyright (Policy #xxx)³, as well as relevant collective agreement language.
- Issues of confidentiality will arise in some disciplines and areas of research and these must be appropriately addressed by the School or research unit involved. The Tri-Council document on the Ethics of Research Involving Human Subjects (June 2003)⁴ provides guidelines for researchers in this area.
- Subject to any limitations imposed by the terms of grants, contracts or other arrangements for the conduct of research, the principal investigator and all co-investigators must have free access to all original data and products of the research at all times. With the knowledge and authorization of the principal investigator, a member of the research team may make copies of the primary data for his/her own use.
- When a principal investigator (either faculty member, staff or student) leaves the College, arrangements for the safekeeping of records, data and products of research must be made. Data will be saved or released by the College, depending on the common understanding of ownership that has developed (see paragraph 4.2).

6 AUTHORSHIP STANDARDS

- In order to ensure the publication of accurate scholarly reports, two requirements must be met:
 - a) each author must actively participate in verifying and taking responsibility for the part of the manuscript that they have contributed and
 - b) one author must be designated as the one accepting responsibility for the validity of the entire manuscript.
- The principal criterion for authorship should be that the author has, or in the case of multiple authors, each author has made a significant intellectual and practical contribution.
- Students must be given appropriate recognition for authorship or collection of data in any publication.

7 MISCONDUCT

Misconduct in research includes, but is not limited to, one or more of the following:

- Fabrication, falsification, plagiarism or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research;
- Failure to appropriately acknowledge the role of other contributors such as students, co-researchers, research assistants and staff;
- Use of unpublished work (e.g. data or research notes) of others without permission;
- Violation of copyright laws;
- Failure to comply with terms and conditions of research grants and/or contracts;
- Use of College resources, facilities and equipment for purposes other than that which has been properly approved by the College;
- Failure to comply with relevant federal or provincial statutes or regulations for the protection of researchers, human participants, or the health and safety of the public, or for the welfare of laboratory animals;

³ This policy is under development at this time.

⁴ This policy can be found at <http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm>. Print copies are available from the Vice President's Office and from the Chair of the Research Ethics Board.

- Failure to reveal to sponsors, colleges, universities, journals or funding agencies, any material conflicts of interest and commitment (financial or other) that might influence their decisions on whether the person should be asked to review manuscripts, review grant applications or to test products for sale or distribution to the public.

The foregoing definition of misconduct does not include honest errors or differences in the interpretations or judgments of data.

8 PROCEDURES FOR INVESTIGATING ALLEGATIONS OF MISCONDUCT

An overview of the process and timelines for the conduct of an informal investigation into allegations of misconduct is attached to this policy on page 7.

Subject to those procedures prescribed in a relevant collective agreement and/or related College policies, the following procedures apply:

- A person who has reasonable grounds for believing that another person has contravened this policy may file a written complaint with the Vice President, outlining the details of the alleged misconduct. The complaint must be made within three months after the alleged contravention occurs or, in the case of a continuing contravention, within three months after the last incidence of the alleged contravention. Where a person becomes aware of an act of misconduct only as a result of the work being published, a complaint may be made up to three months after the publication of the work, regardless of when the alleged misconduct occurred.
- A Dean or a School Chair who becomes aware of allegations of misconduct should discuss his/her concerns with the Vice President.

The Vice President will not normally act on an anonymous complaint, but reserves the right to do so if the evidence appears compelling and the Vice President believes that failure to act would be contrary to the best interests of the College or the reputation of its faculty.

Complaints will be dealt with either informally or through a formal Investigative Committee, as outlined in the following sections.

8.1 INFORMAL INVESTIGATION

When a complaint is filed with the Vice President, he/she will, within ten days of receipt of complaint, notify the individual(s) against whom the complaint was made (the “respondent(s)”). Then, jointly with the Dean responsible for the discipline (the “Dean”), the Vice President will investigate and try to settle the matter informally. The Vice President will deem a complaint to be settled when the complaint is formally withdrawn and both complainant and respondent unreservedly accept the resolution measures. Where the complaint involves one or more students, the Dean of Student Development/Registrar will be part of the process.

Following this informal investigation, the Vice President and the Dean will determine, within ten working days, whether or not to refer the matter to an Investigative Committee.

Where the Vice President declines to refer a complaint to an Investigative Committee, the complainant may, within ten days of the receipt of the Vice President’s decision, appeal to the President who may order, upon due consideration, that the matter be forwarded to an Investigative Committee. The decision of the President to refer, or not, the complaint to an Investigative Committee, shall be final.

8.2 INFORMAL SETTLEMENT REPORT

Where the complaint is settled informally, the Dean will prepare a brief report that will summarize the nature of the complaint and describe the terms under which it was settled. The Vice President will notify the parties that no further action will be taken with regard to the complaint, unless the terms of the settlement are not complied with, in which case the Vice President may re-open the complaint and proceed as if a settlement had not been effected. This report will be kept in confidence in the Vice President’s Office for a period of twelve months, or longer if the terms of the settlement warrant it, after which it will be destroyed.

9 REFERENCE TO AN INVESTIGATIVE COMMITTEE

An overview of the process and timelines for the conduct of a formal investigation into allegations of misconduct is attached to this policy on page 7.

9.1 INVESTIGATIVE COMMITTEE

When the need arises for an Investigative Committee (a "Committee"), the Vice President will appoint a three-person Committee, consisting of one Dean who does not have responsibility for the discipline area where the misconduct is alleged to have occurred, and two experienced researchers who have no direct affiliation with the respondent: one from within the College and one from another post-secondary institution.

The terms of reference of the Committee will be to determine whether misconduct has occurred, and if so, its extent and seriousness.

9.2 PARTIES TO PROCEEDING

The parties to a proceeding before the Committee with respect to a complaint are:

- The Dean responsible for the discipline area where the misconduct is alleged to have occurred;
- The person named in the complaint as the complainant;
- The person or persons named in the complaint who is or are alleged to have contravened this policy; and
- A union representative or student advocate, as appropriate.

9.3 PROCEDURES

The Committee will inquire into the matters referred to it and give full opportunity to all parties to present evidence and to make oral or written representations.

The person(s) alleged to have engaged in misconduct has/have the right to know all allegations against them and the right to respond fully.

9.4 FINDINGS OF THE COMMITTEE

The Committee will document its findings and recommendations in a report to the Vice President within thirty days of the respondent(s) being notified of a formal investigation.

The report will consist of the Committee's findings and, if appropriate, a series of recommendations.

9.4.1 Findings

The report will include all relevant information pertaining to: the names of the Committee members and the expertise that they brought to the process, the nature of the allegations and the names of the people involved, a description of the investigative process that was followed, the persons interviewed or who provided information in the matter and the facts found during the investigation. The report must contain clear and convincing evidence to support the conclusion reached.

9.4.2 Recommendations.

If, in the opinion of the Committee, the allegations are not substantiated, the Committee will so indicate and, if appropriate, make recommendations on the need for remedies to restore the reputation of those unjustly accused. The Committee may also make recommendations for sanctions where warranted, but the final determination of remedies and disciplinary procedures will be made by the Vice President. Sanctions will be based on the severity of the misconduct and may include a formal reprimand, withdrawal from a research project, or recommendation to the President for temporary suspension or expulsion from the College.

The College will be bound by the findings of the Investigative Committee; the Committee's decision may only be overturned by the President in the face of compelling new evidence. The College will give serious consideration to, but will not be bound by, the recommendations of the Committee regarding remedies and sanctions.

Within ten days of it being received, the Vice President will distribute a copy of the Investigative Committee Report to the Respondent and will advise the Complainant, verbally, of the outcome of the investigation.

9.5 APPEAL OF DISCIPLINE

Discipline imposed for misconduct may be appealed:

- By Faculty members, through the grievance procedures established in the relevant collective agreement.
- By students, through the Student Appeal process
- By Management, Exempt staff or other researchers associated with the College but not covered by a collective agreement, by reporting directly to the President.

9.6 RECORDS

Where an investigation was initiated at the request of a funding agency, or where funding for the research was provided by a federal granting agency and misconduct is concluded to have occurred, a copy of the Investigative Committee report will be forwarded to the funding agency within 15 days.

Reports and records pertaining to an investigation will be kept by the Vice President for a period of five years. Access to these records will be by application to the Vice President.

9.7 PROTECTION OF AGENCY FUNDING

Where misconduct is found to have occurred, the Vice President will be responsible for ensuring that agency funding is protected by notifying the College's Finance Office to withhold funding until the matter is resolved.

9.8 GOOD FAITH CLAUSE

In all proceedings and subsequent to a final decision, the College will undertake to assure that those making an allegation in good faith and without demonstrably malicious intent are protected from reprisals or harassment. False allegations made purposefully will lead to discipline for the individual making the allegation by the College.

10 RESEARCH INVOLVING BIOHAZARDS

Selkirk College does not support research involving biohazards at this time.

Other policies relevant to this topic:

6000 – Employee Code of Conduct and Conflict of Interest. In part, this policy covers conflict of interest for employees, as well as outside remuneration.

8700 – Research Involving Human Subjects. This policy describes the College's commitment to research, prescribes the approval process for conducting research at the College and provides guidelines for the conduct of research involving human subjects.

8720 – Animal Care in Teaching and Research – Under Development.

XXX Intellectual Property and Copyright – Under Development

Key words: College-sanctioned research; Authorship; Integrity; Research Ethics Board; Research grants; Federal granting agency; Research data; Investigation of alleged misconduct in research

Formal Investigation of Allegations of Breach of the Integrity in Research Policy: Overview of Process and Timelines

