

INTEGRITY IN RESEARCH AND SCHOLARSHIP PROCEDURE

This procedure is governed by its parent policy. Questions regarding this procedure are to be directed to the identified Procedure Administrator.

Functional Category:	Academic
Parent Policy:	Integrity in Research and Scholarship Policy
Approval Date:	March 21, 2013
Effective Date:	April 2, 2013
Procedure Owner:	Vice President, Teaching and Learning
Procedure Administrator:	Senior Manager, Academic Research and Development

Overview:

The NorQuest College (College) community has an important role to play in cultivating and perpetuating high standards of research and scholarship integrity.

The purpose of this procedure is to promote and advance the maintenance of the highest standards of integrity in research and scholarship by identifying responsibilities for conducting research, detailing the actions involved in reporting and responding to allegations of violations of College research and scholarship policies.

Authority to establish this procedure is derived from the [NorQuest College Board of Governor's Policy No. 5](#), which delegates authority to the President and CEO to establish policies and procedures for the College's management and operation.

Procedures:

Research Responsibilities

Any person conducting research under the auspices of the College will:

- use scholarly and scientific rigor and integrity in obtaining, recording and analyzing data, and in reporting and publishing results,
- recognize the substantive contributions of collaborators and students; using the unpublished work of other researchers and scholars only with permission and with due acknowledgement; and using archival material in accordance with the rules of the archival source,
- obtain the permission of the author before using new information, concepts or data originally obtained through access to confidential manuscripts or applications for funds for research or training that may have been seen as a result of processes such as peer review,
- ensure that authorship of published (and presented) work includes all those who have materially contributed to, and share responsibility for, the contents of the publication, and only those people,
- reveal to the College, sponsors, post-secondary institutions, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products or be permitted to engage in work sponsored by outside sources.

Authorship and Recognition

Authorship of published work and/or alternative dissemination methods of research findings will include all those who made a

significant intellectual and practical contribution, and only those people. Students and research assistants will be given appropriate recognition for authorship or collection of data in any publication. Other individuals who have made a significant contribution will be recognized in acknowledgements.

Research teams will designate one author who is responsible for the validity of the entire manuscript. Co-authors will be responsible for the part of the publication that they have contributed.

Collection and Retention of Research Data

During the process of scientific and scholarly inquiry, researchers must retain accurately recorded data in order to respond to questions regarding research. Errors in data collection and/or analysis may be taken for misconduct if the primary experimental results are unavailable.

Before commencing research, investigators, supervisors, students and the College should come to a common understanding regarding storage, access to data and any other relevant circumstances. In the case of collaborative work, all members of the research team must have access to the relevant data at all times, subject to contractual obligations or other agreements regarding access to data.

A complete set of all original research data must be retained by the principle investigator for a period of five (5) years, or such period as required by funding agencies.

Promoting Integrity in Research

Integrity in research and scholarship is best encouraged by developing awareness among all involved of the need for the highest standards of integrity, accountability and responsibility. All of the parties involved in research have a role in promoting integrity in research.

Researchers and scholars

The primary responsibility for high standards of conduct in research and scholarship rests with the individuals carrying out these activities. The College expects researchers and scholars to adhere to the principles detailed in the [Integrity in Research and Scholarship Policy](#).

The College

The College will:

- promote integrity in research and scholarship through distribution of the research policies and conducting workshops for the College community,
- ensure that research funds will be administered with a high degree of integrity, accountability and responsibility,
- strive to educate all that are involved in the collection, recording, citing, reporting and retention of scientific or scholarly material of its high standards of integrity, and
- promote the understanding of research ethics and integrity issues by making policies readily available to all faculty, staff and referring researchers to the policy statements, and by providing information sessions on the principles and practices of scientific integrity for scholars, students and other trainees and faculty research staff.

Responding To Allegations Of Misconduct In Research And Scholarship

Integrity in research and scholarship is taken very seriously by the College. Allegations of misconduct will be responded to through appropriate processes.

The College will promote understanding of the issues involved in integrity in research and scholarship as it offers a valuable means of preventing misconduct.

The College is responsible for receiving, investigating, documenting and judging, within an established time period, allegations of misconduct involving College faculty, researchers, trainees or other staff. A question of misconduct may arise involving an individual who originates from another institution and is conducting research at the College. If a person has contacted the original institution about a matter of misconduct and the institution is found unable or unwilling to deal with the problem, the College will process the allegation.

Allegations may arise from identified or anonymous sources within or outside the College; the allegations may be well-founded, honestly erroneous or mischievous. Whatever their source, motivation or accuracy, such allegations have the potential to cause harm to the persons accused, to the accuser, to the College, and to research and scholarship in general. It is not necessary to have categorical evidence of misconduct; truthfully reported substantial information is sufficient to file a report.

The College will engage mechanisms consistent with due process and natural justice, and thus:

- allow accused persons full opportunity to respond to allegations,
- provide an opportunity for the persons making the allegation to comment on the findings of the inquiry and the investigation, and ensure that any comments they make become part of the record,
- report the results of the investigation to both the accused persons and the persons making the allegation (if known), and ensure that this information is not made accessible to third parties, regardless of their role in the investigation (exceptions are outlined below),
- report the results to the federal granting Agencies according to Tri-Council policy guidelines in the instance of Tri-Council funding. In the instance of alternative outside agency funding, report the results to the appropriate agency, and
- inform the accused persons of any actions or sanctions that have been decided on as a result of the investigation.

Procedural Stages

A complaint will be resolved at the earliest step possible. The stages include:

Informal Consultation

- Informal consultation between the complainant and respondent.
- Informal mediation by the appropriate Dean or Director.
 - The Dean or Director will meet with the complainant and respondent to facilitate a timely resolution to the issue.

No further action is required, if the complaint is resolved at this stage.

Formal allegation of misconduct

Submission Actions

- Formal allegations of misconduct in integrity in research and scholarship should normally be made within 6 months of the alleged incident.
- Allegations of misconduct are to be directed in writing to the Head of Applied Research.
- Allegations of misconduct should include all relevant evidence, be appropriately documented and be signed and dated. Allegations may also be reported anonymously.
- If the Head of Applied Research is a party to the alleged misconduct, then the allegation of misconduct is to be directed to the Vice President Teaching and Learning.

Processing Submissions

- Upon receipt of a formal allegation of misconduct the Head of Applied Research confirms that the informal processes were unable to resolve the complaint.
- Where an anonymous allegation of misconduct has been made, the Head of Applied Research will assess the allegation of misconduct and determine appropriate actions. These actions may include:
 - dismissing the allegation, when the evidence is insufficient,
 - discussing the allegation with the individual to which the complaint pertains and then determining if:
 - the allegation is to be dismissed, or
 - proceeding with review of the allegation
- If proceeding with a review, the Head of Applied Research shall within five working days establish a Review Panel.
- The Review Panel will meet within fifteen working days of the date of the establishment of the Review Panel to consider the issue(s) presented, and will strive to conclude the issue within sixty working days.

Review Panel Actions

- The Review Panel will forward a copy of the formal misconduct allegation to the Respondent.
- The Review Panel will set a review meeting date and invite affected parties.
 - Both the Complainant (if not anonymous) and the Respondent will be given opportunity to state their case.
 - If the Complainant is anonymous the written submission of the allegation will represent their case.
 - The Review Panel will invite anyone they deem necessary to present information. In exceptional circumstances, teleconference participation may be acceptable.
- Upon conclusion of their deliberation, the Review Panel will prepare a draft written report.
 - The report shall include a copy of the signed allegation, the written response, if any, of the Respondent, Review Panel membership, selection process, investigation processes, persons interviewed or who provided information, and the findings of the Review Panel as to whether the allegation has been upheld, with a statement of the reasons for the finding. The appropriate criterion for a decision is the presence of clear and convincing evidence.
 - The Review Panel report shall describe the actions, if any, to

be taken, including: sanctions against a Respondent found to have engaged in misconduct; actions to protect or restore the reputation or credibility of a person wrongfully accused or implicated; actions to protect a Complainant found to have made a responsible accusations or to have acted in good faith; sanctions against a Complainant found to have made an irresponsible or malicious allegation.

- Sanctions will depend on the severity of the offense and may include, but are not limited to: reprimand, suspension or dismissal (employees) or expulsion (students).
- The Review Panel will meet with both Respondent and Complainant to discuss the case, the Review Panel's draft report and the sanctions prior to the Review Panel's final decision and finalization of the report.
- If an affected person believes that the decision of the Review Panel was reached improperly an appeal or grievance, as appropriate, may be filed with the President and CEO within 15 working days of receipt of the final report.
- A final report will be prepared by the Review Panel. The final report will contain a summary of the allegations, the decisions of the Committee and the final outcome, including sanctions imposed and/or actions taken. The final report will also be submitted to the President and CEO. If the final report indicates that the respondent is in violation of the Integrity in Research and Scholarship policy, a copy of the report will be kept in the Respondent's human resources or student file as appropriate.
- If misconduct is confirmed in the final report, Vice President Teaching and Learning will be responsible for the protection of agency funding by informing the Vice President College Services and CFO to withhold any payments or disbursements of agency funds, if such action is deemed appropriate.
- If the research involved projects funded in whole or in part by one of the federal granting agencies or another funding agency and misconduct was found to have occurred a copy of the final report will be transmitted to that funding agency by the Vice President Teaching and Learning. If an allegation is dismissed or otherwise determined to have been unfounded, and the funding agencies are known to be aware or are likely to be aware of the allegation the Vice President Teaching and Learning will inform the funding agency in writing.
- If the investigation is requested by the funding agency, a full copy of the final report will be provided to them within thirty working days after being completed whether or not misconduct is concluded to have occurred.
- Any and all information and records related to an action under the Integrity in Research and Scholarship Policy will be administered in compliance with the Alberta [Freedom of Information and Protection of Privacy Act](#) and all relevant College policies.

Definitions:

Research and Scholarly Integrity means:

- honest and irreproachable in conduct and dealings with colleagues, co-workers within the research and scholarly establishment as well as with students, assistants, faculty and staff on research projects, and
- in dealings with research and funding collaborators both within and outside the education community,

- respect for intellectual property, and
- due regard for the ethical considerations involved in the use of human participants and animal subjects in research.

Research and Scholarly Misconduct includes but is not limited to:

- falsifying or fabricating data,
- plagiarism, theft of ideas or intellectual property, or appropriation of another's work,
- willfully misrepresenting and misinterpreting findings resulting from conducting research and scholarly activities,
- failure to recognize the relevant contributions of other people, including students, coworkers and research assistants, in the authorship of papers or invention disclosures,
- use of unpublished work of other people without permission,
- failure to honour the confidentiality that the researcher promised or was contracted to as a way to gain valuable information from a party internal or external to the College,
- retaliation of any kind against persons, acting in good faith, who have reported or provided information about suspected or alleged misconduct. Retaliation means any response by the College that adversely affects the employment or other status of the originator of the allegation,
- failure to disclose conflict of interest,
- failure to report to the College an involvement in research dealing with human participants, bio-hazardous materials or animals,
- material failure to comply with relevant statutes, regulations or policies concerning the conduct of research,
- financial misconduct, including misuse of funds acquired for research and failure to adhere to terms and conditions of grants and contracts,
- abuse of supervisory power affecting coworkers, students and others associated with the research,
- suppressing publication of the work of another scholar and improper negative reviewing of a research grant application or work submitted for peer review in consideration for publication by another scholar.

Misconduct does not include honest errors, differences in opinion or different interpretations of scientific discoveries. Those involved in judging research and scholarly misconduct must bear in mind the ethical sensitivities of the period in which the research was conducted. Although a researcher may have conscientiously followed the standards of the period, protocols previously in use may not necessarily accord with current standards on the use of data.

Student: means a person who is registered and attending a course or program.

Related Information:

- [Code of Conduct Policy](#)
- [Ethical Conduct for Research Involving Human Participants Policy](#)
- [Integrity in Research and Scholarship Policy](#)
- [Public Interest Disclosure \(Whistleblower Protection\) Procedure](#)
- [Tri-Agency Framework: Responsible Conduct of Research](#)
- [Whistleblower Policy](#)

Related Documentation:	N/A
Next Review Date:	March 2016
Revision History:	April 2013: New August 2013: update for document links and branding November 2014: update for change in procedure administrator and document links