

INTEGRITY IN RESEARCH AND INNOVATION POLICY**EFFECTIVE DATE:** JUNE 14, 2007**RESPONSIBILITY FOR IMPLEMENTATION:** Vice-President Academics and Research and Directors

CROSS REFERENCE: Tri-Council Policy Statement on Integrity in Research and Scholarship (*CIHR, NSERC, and SSHRC, revised May 2001*)

POLICY STATEMENT:

Grande Prairie Regional College supports and encourages the maintenance of the highest ethical standards in research and innovation by adopting the principles outlined in this policy.

The College also recognizes and endorses the "Tri-Council Policy Statement on Integrity in Research and Scholarship".

The College expects all researchers to adhere to the principles described herein. Misconduct in research is an offense which, depending on its severity, is subject to a range of disciplinary measures, up to and including dismissal or expulsion. Allegations of misconduct shall be dealt with in a fair, unbiased and timely manner.

PURPOSE:

To promote an understanding by the College of the issues involved in integrity in research and innovation and, as a result, to effectively prevent and deal with research misconduct.

SCOPE:

This policy applies to faculty members, students, and all other personnel associated with the College, referred to herein as 'researcher'.

DEFINITIONS:

Researcher: Includes all faculty members, research support staff, students, and any other personnel associated with the College.

Misconduct: Includes but is not limited to, any deviation from the codes of conduct listed under Principles.

- Complainant:** The person making an allegation of misconduct in research; the complainant may or may not be directly affected by the alleged misconduct.
- Respondent:** The person accused by the complainant of misconduct in research and/or innovation
- Informal Process:** Steps 1 and 2 of the Integrity in Research and Innovation Policy including resolution sought through related policies.
- Formal Process:** Step 3 of the Integrity in Research and Innovation Policy.
- Appeal Process:** An extraordinary appeal by either party of the Research and Innovation misconduct Committee' decision.
- Applied Research:** At GPRC we embrace both the Alberta Advanced Education and Technology definition “applied research refers to original investigation undertaken in order to acquire new knowledge directed primarily towards a specific practical aim or objective. The results of applied research are intended primarily to be valid for a single or limited number of products, operations, methods or systems (OECD 1993)” and the Federal Government’s definition “Work undertaken to advance scientific knowledge with a specific practical application in view. This type of research advances the current understanding of scientific principles, methodologies or relations. [Industry Canada]” of applied research.
- Publication:** a copy of a printed work offered for distribution
- a) issue: the act of issuing printed materials
 - b) the communication of something to the public; making information generally known
 - c) and includes data that has been collected pending (possible) publication.

PROCEDURE / GUIDELINES :

1. Principles

The College holds all researchers responsible for conducting their research in strict adherence of ethical standards:

- a. Using scholarly and scientific rigor and integrity in obtaining, recording and analyzing data, and in reporting and publishing results; not fabricating or falsifying products of research;
- b. Recognizing the substantive contributions of all collaborators.
- c. Using unpublished work of other researchers and scholars only with permission and with due acknowledgment; and using archival material in accordance with the rules of the archival source;

- d. Complying with authorship guidelines as specified in the following; obtaining the written 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;
- e. With integrity and using appropriate research methodologies consistent with their scholarly discipline, industry including, but not limited to, the following codes of conduct:
- f. Complying with research data guidelines as specified in the following; complying with College Research Grants Policy and College Overhead Charges for Programs and Projects Policy as it relates to the operational and financial terms of research grants and/or contracts awarded to the researcher;
- g. Revealing in writing to the College any material financial interest in a company that contracts with the College to undertake research, particularly research involving the company's products. Material financial interest includes ownership, substantial stock holding, directorship, significant honoraria or consulting fees, but does not include minor stock holding in a large, publicly traded company; and,
- h. Revealing in writing to sponsors, this and other colleges/universities, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decision on whether the individual should be asked to review manuscripts or application, test products or be permitted to undertake work sponsored from outside sources.

Engaging in research and innovation involving human subjects, animals, biohazards or ionizing radiation consistent with College policies and guidelines (e.g. compliance with the CCAC Guidelines, Good Animal Practice Certificate, Laboratory Safety Guidelines, and Research Ethics Board).

The College is responsible for:

- a. Promoting integrity in research and innovation, for example, through posting College policy on the web and in key locations, distributing written materials, conducting workshops/seminars, and making it part of new staff orientation programs.
- b. Investigating allegations of misconduct in research and innovation in a timely manner consistent with College policy,
- c. Reporting proven instances of misconduct in research and innovation to the relevant granting or funding agency including the disciplinary actions taken in accordance with College policies as appropriate

Authorship Guidelines

It is recognized that authorship implies significant intellectual contribution to the work. Authorship of published work includes all those, and only those, who have materially contributed to and share responsibility for the contents of the publication.

Co-authorship and ordering of authors on publications arising from student research should be reviewed in the understandings and agreements reached prior to the work being undertaken. At the time the writing is undertaken and thereafter prior to submission for publication, the understanding

and agreements should be reviewed in light of the actual contributions of the various co-authors to the final manuscript(s).

Although a student may normally expect senior authorship on a publication arising solely from her/his research, patterns of co-authorship will be influenced by considerations of the involvement and contribution of the supervisor and others in a research group. Relevant contributions to be taken into account include but are not limited to definition of the questions asked and hypotheses tested, development of the research design and measurement procedures, data collection and analyses, organization and interpretation and the actual writing of the manuscript.

Research Data Guidelines

The College realizes that research is conducted and data is acquired in different ways. In the case of collaborative work, all members of the research team are responsible for ensuring proper acknowledgement of each member when the data and/or report(s) are released in any form.

A complete set of all original research data must be retained by the College (principal investigator/research facilitation office) for a period of 5 years from the date of publication of results based on the data. All collaborators must have free access to the relevant data at all times, and authorization to copy may not be withheld by any team member without valid reason communicated in writing to the Vice-President Academics and Research

2. Procedures/Rules Statement – Allegations of Misconduct

1. Confidentiality

The complainant and respondent are advised that during the entire process, all professional personnel, faculty, students, staff, and administrators are bound by a code of professional ethics to hold in confidence, discussions with complainant and respondent and their names unless the complainant and/or respondent give permission in writing for that information to be divulged.

2. Double Jeopardy

This policy will be implemented consistently with the principles of double jeopardy.

3. General Procedures

Normally a complaint will be resolved at the earliest step possible.

Step 1 Informal consultation between complainant and respondent

Instances of alleged misconduct in research may be resolvable through informal consultation between complainant and respondent.

Step 2 Informal mediation led by the appropriate Dean

If the complaint cannot be resolved by Step 1, the complainant can request an informal mediation by his/her divisional Dean. The Dean will informally meet with the complainant and respondent to facilitate a timely resolution to the issue and report to the Vice - President, Academic. If the complaint is not carried beyond this stage, the College shall maintain no written record of the names of the parties, nor of the precise particulars of the allegation. If the complaint still cannot be resolved by Step 2, the complainant may submit a formal allegation according to Step 3.

Step 3 Formal allegation of misconduct

A formal allegation of misconduct in research and innovation may be made by any member of the Grande Prairie Regional College community, or by any other person. It should normally be made within six months of the alleged misconduct. Allegations of misconduct in research are to be directed in writing to the Vice-President Academics and Research. Complaints received by any other party should be channeled to the Vice-President Academics and Research. They should include all relevant evidence, appropriately documented, and must be signed and dated. If an allegation is incomplete or otherwise improperly documented, the Vice-President Academics and Research may contact the complainant and inform him or her of the deficiency in the form of the allegation. Anonymous allegations will not normally be considered. However, if compelling evidence of misconduct is received from an anonymous source, the Vice President Academics and Research may initiate the investigation process described below, on the basis of this evidence. If the Vice-President Academics and Research is a party to the alleged misconduct, then the President will assume the role of the Vice-President Academics and Research under this policy. After receiving a complete formal allegation, the Vice- President Academics and Research will proceed according to 3.6 of the policy.

Q – What does appropriately documented mean?

3. Research and Innovation Misconduct Committee

3.1 Purpose

- 3.1.1 The purpose of the Research and Innovation Misconduct Committee is to hear matters of complaint in research and innovation.
- 3.1.2 The Committee will produce a resolution of the complaint. This resolution is binding on the College.
- 3.1.3 The Committee will be a standing committee with ad hoc membership.

3.2 Membership

3.2.1 The Committee will normally consist of at least three persons assembled for each individual hearing:

3.2.1.1 The Chair of the committee will normally be the Vice-President Academics and Research.

3.2.1.2 The Allegation Response Team will consist of two or more academic staff members from at least two different Departments outside the Departments of either Complainant or Respondent will be selected by the Academic Staff Association.

3.2.1.3 If Complainant and/or Respondent are student(s), at least one student member will be selected by the Students' Association.

3.2.1.4 Standing Committee will consist of the Vice-President Academics and Research, President Academic Association or designate, and the Director Centre for Research & Innovation. 3.2.2 Members of the Committee may disqualify themselves from deliberating on an issue if there are concerns about perception of bias or conflict of interest. Another member from the same Department will then be named as a replacement.

3.3 Operation

3.3.1 The minimum quorum of the Committee is three.

3.3.2 A majority of affirmative votes are required to uphold the decision of the Committee. All Committee members, including the Chair, must vote.

3.3.3 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 give lead to discipline.

3.4 Term

3.4.1 The term of the Committee is standing.

3.4.1.1 The term of the Allegation Response Team will end after a conclusion is made.

3.5 Jurisdiction of the Committee

3.5.1 The Committee will only hear and determine complaints affecting conduct in research and innovation at the College.

3.5.2 The Committee has the right to request any current College employee or student to appear.

3.5.3 All business of the Committee will be conducted confidentially and notes and records managed consistent with College records management policies.

3.6 Procedure

3.6.1 Upon receipt (filed with the Vice-President Academics and Research) of a formal allegation of misconduct in research and innovation, the Vice-President Academics and Research must confirm that the informal processes (Steps 1 and 2) were unable to resolve the complaint. Within five working days the VP Academics and Research shall establish a Research and Innovation Misconduct Committee.

3.6.2 The Committee will meet within fifteen working days of the date of the establishment of the Committee to consider the issue presented, and will strive to conclude the issue within sixty working days.

3.6.3 Before the Proceeding, the Committee will forward a copy of the formal misconduct allegation to the Respondent. Both the Complainant and the Respondent will be given opportunity to state their case. The Committee will invite anyone they deem necessary (including research partners) to present information. In exceptional circumstances, written submissions or teleconference participation may be acceptable.

3.6.4 Upon conclusion of their deliberation, the Committee will prepare a draft written report. The report shall include a copy of the signed allegation, the written response, if any, of the respondent, Committee membership, selection process, investigation processes, and persons interviewed or who provided information, and the findings of the Committee 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 report shall also describe actions, if any, to be taken, which may include, but are not limited to, those listed below:

3.6.4.1 Sanctions against a respondent found to have engaged in misconduct.

3.6.4.2 Actions to protect or restore the reputation or credibility of any person, if wrongfully accused and/or implicated.

3.6.4.3 Actions to protect a complainant found to have made a responsible accusation or to have acted in good faith.

3.6.4.4 Sanctions against a complainant found to have made an irresponsible or malicious allegation.

- 3.6.5 Sanctions will depend on the severity of the offense and may include (but are not limited to) the recommendation of: reprimand, suspension or dismissal (employees) or expulsion (students).
- 3.6.6 The Committee will meet with both respondent and complainant separately to discuss the case, the Committee's draft report and the sanctions prior to the Committee's final decision and finalization of the report.
- 3.6.6.1 The Committees meetings with respondent and complainant will be concluded consistent with the College's "meeting sign-off" practice.
- 3.6.7 If sanctions or actions are components of the final decision as recommended by the Committee, the sanctions or actions will be imposed or taken by the Chair of the Committee unless another person is designated to do so by existing College policy, collective agreements, and framework agreement or by legislation. In such cases, the report will be transmitted to that other person, as a recommendation for action.
- NOTE: the committee cannot impose an action or sanction that is contrary to college policy, college core values, any agreement, and/or legislation.
- 3.6.8 If an affected person believes that the decision of the Committee was reached improperly (4.1.1), an appeal or grievance as appropriate may be filed with the President within 15 working days of the receipt of the report.
- 3.6.9 When the case is concluded, a Final Report on the outcome will be written by the Committee. 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 be submitted to the President. A copy of the Final Report will also be sent to the complainant and the respondent within 7 days of its completion. If the Final Report indicates that the respondent is in violation of the Integrity in Research and Innovation policy, a copy of the report will be kept in the respondent's Human Resources file or student file
- 3.6.10 If misconduct is confirmed, the Vice-President Academics and Research will be responsible for the protection of agency funding by informing the Financial Officer to withhold any payments or dispersions of Agency funds, if such action is deemed appropriate.
- 3.6.11 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 Academics and Research; only after the appeal process has been completed. 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 Academics and Research will so inform the Council or other funding agency.

3.6.12 If the investigation is requested by the funding agencies, a full copy of the final report will be provided to them within thirty days of the report being completed whether or not misconduct is concluded to have occurred.

3.6.13 If the Vice-President, Academics and Research determine it to be in the best interests of the College, a report on the investigation of misconduct and its outcome will be disseminated to persons with a legitimate interest in knowing about them. This report will normally not contain any information that would identify the parties, unless this action is fully consistent with the final outcome of this case as described in the Final Report.

3.6.14 Any and all information and records relating to an action under this policy will be handled by the College in compliance with the Alberta Freedom of Information and Protection of Privacy Act and the relevant College's policies.

4. The Appeal Process

(Appeal of the decision of the Research and Innovation Misconduct Committee)

4.1 Grounds

4.1.1 The grounds for an appeal will include but are not restricted to the following:

4.1.1.2 Procedural errors on the part of the Committee.

4.1.1.3 Failure of the Committee to consider all factors relevant to the decision being appealed.

4.1.1.4 Bias or discrimination against either party on the part of the Committee.

4.1.1.5 New information that was not available during the complaint procedure.

4.2 Powers of the Appeal Panel – The Appeal Panel has the authority to determine if the appeal is to be heard, based on Item 4.1.

4.2.1 The decision of the Appeal Panel will be either

4.2.1.1 To uphold the appeal and make such order as is required, or

4.2.1.2 To deny the appeal.

4.2.2 The Panel will hear an appeal from the same appellant against the same decision only once.

4.2.3 The decision of the Appeal Panel will be final and binding on the College.

4.3 Procedures

- 4.3.1 If an appeal is being made, it must be initiated within 21 days of receiving the decision of the Committee by delivering to the President a statement in writing signed by the appellant. The statement must set forth the decision being appealed, the grounds for the appeal, the nature of the injustice, and the relief requested.
- 4.3.2 The Appeal Panel shall meet within 14 days of receipt of the written statement.
- 4.3.3 The Appeal Panel will hear evidence from all involved parties.
- 4.3.4 Prior to hearing the evidence, the Appeal Panel shall determine whether the appeal falls within its jurisdiction.
- 4.3.5 An advocate or an advisor may accompany the appellant and the respondent.
- 4.3.6 On conclusion of the hearing, the Appeal Panel will prepare a brief summary of the evidence and argument presented to it, to which shall be added the decision of the Appeal Panel and reason for the decision. The summary and decision shall be signed by the President and normally delivered to the appellant and respondent within seven days of the conclusion of the hearing.

4.4 Membership

- 4.4.1 The Panel will consist of at least three members:
 - 4.4.1.1 The President or designate as the panel Chair.
 - 4.4.1.2 Two faculty members named by the President.
 - 4.4.1.3 If Complainant and/or Respondent are student(s), one student will be named as a panel member by the President.

5. **Records Management**

The Committee and the Appeal Panel will create and maintain, in confidence, the record of proceedings and outcomes consistent with this and other College policies. The records will be stored for a minimum of 3 years in the office of the Vice President Academics and Research and destroyed as per the Records Management Policy of the College.