

ALGONQUIN COLLEGE DIRECTIVE	NO. OF PAGES 5	DIRECTIVE NO. H2
	ORIGINATOR Vice President Academic	
	APPROVED BY President's Executive Committee	
TITLE INTEGRITY IN RESEARCH AND SCHOLARSHIP	EFFECTIVE DATE 2006.08.23	REPLACES 2005.02.23

PREAMBLE

Algonquin College is committed to promoting the highest standards of conduct in research and scholarship behaviour and ensuring that researchers are aware of the standards of integrity, accountability, and responsibility through ongoing education on research integrity. Actions that are inconsistent with integrity are defined as misconduct. The College shall investigate all allegations of misconduct in research or scholarship. The purpose of this policy is to establish the principles that define integrity in research and scholarship and to establish procedures to investigate allegations of misconduct.

POLICY

1. Scope

This policy applies to all College employees, students, or any other parties involved in the conduct of research at the College in any capacity whatsoever.

2. Definitions of Misconduct in Research and Scholarship

2.1 Academic Dishonesty is defined as, but not limited to:

- a) All cases of fabrication or falsification of research results.
- b) Plagiarism or forgery of documents including academic credentials.
- c) Failure to appropriately recognize the substantive contributions of students, co-researchers, or other collaborators.
- d) Use of the unpublished works of other researchers and scholars without permission.
- e) Use of 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 without permission.
- f) Failure to use scholarly and scientific rigour and integrity in obtaining

- recording, and analyzing data, and in reporting and publishing results.
- g) Use of archival material in violation of the Copyright Act.

2.2 Misuse of Research Funds is defined as, but not limited to:

- a) failure to use research funds in strict accordance with the terms and conditions of grants and contracts.
- b) failure to follow College financial directives and practices.
- c) failure to disclose a financial or personal interest in any transaction chargeable to a research grant or contract.
- d) failure to inform the College of a substantial change in research activities or use of research funds.
- e) use of research resources, facilities or equipment in a manner that is inconsistent with approved research practices.

2.3 Conflict of Interest is defined as, but not limited to:

- a) Failure to disclose existing, potential or apparent personal, financial, or business interests of the researcher, the researcher's associates or the researcher's family in relationship to research grants and contracts.
- b) Failure to comply with the College policy on conflict of interest.
- c) Failure to reveal to sponsors, research institutions, journals, funding agencies or contractors, 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 undertake work sponsored from outside sources.

3. Responsibilities of Researchers

3.1 Data Gathering and Retention

The College recognizes the importance of sharing original data with the research community. It also recognizes the importance of retaining original data to respond to inquiries.

- a) Original data should be preserved in a suitable format for a period of at least five years from the end of the research project.
- b) Data should be stored in such a manner as to safeguard confidentiality as required by College policies, ethics policies, and relevant privacy legislation.
- c) Data shall not be destroyed while researchers, colleagues, readers of published results or College officials may raise questions answerable only by reference to the data.
- d) Data shall only be used for the purposes for which it was originally collected.
- e) Principal investigators and all co-researchers must have free access to all original data and products of the research at all times subject to any limitations imposed by the terms of grants, contracts, or other arrangements for the conduct of the research.

- f) Entitlement to ownership of the original data and the products of research shall be clearly identified in a research agreement that shall be entered into by all researchers and the College.
- g) The research agreement shall be in accord with the College's policy on Intellectual Property.
- h) When leaving the College, researchers will make arrangements for the transfer and safekeeping of records, data and products of research.

3.2 Authorship

The College acknowledges the need to recognize all participants in published works.

- a) The authorship of published works shall include all those who have materially contributed to (other than financially), and share responsibility for, the contents of the publication.
- b) Authorship shall not include individuals who did not materially contribute to the research.
- c) Students must be given appropriate recognition for authorship when they have materially contributed to the research.

3.3 Research Conduct

It is the responsibility of all individuals involved in research at the College to adhere to the highest possible ethical standards and conduct their research with scholarly and academic integrity. College staff is responsible to ensure that students, research assistants and others involved in research adhere to these principles.

4. Procedures for Investigating Allegations of Misconduct

4.1 This procedure is applicable to all allegations of breach of this policy, including, without limitations:

- academic dishonesty
- misuse of research funds
- conflict of interest
- data gathering and retention
- authorship
- research conduct

4.2 Complaint Procedure

- a) Anyone who believes that there has been a breach of this policy may seek informal assistance and may request a preliminary investigation from the Director of Applied Research and Development (the Director) at any time.

- b) Such inquiries shall be kept confidential by the Director.
- c) All faculty researchers, students, research assistants and staff have an obligation to report to the Director, circumstances which they believe involve a breach of this Directive.
- d) The Director shall take such steps as may be reasonable to protect against retribution or coercion of complainants, including students, staff and research assistants under the supervision of faculty members whose conduct is the subject of misconduct allegations.
- e) A formal complaint must be made in writing before the Director takes any steps against the individual whose conduct is the subject matter of the complaint. Such a complaint may be formulated by any person who has reviewed the relevant information.
- f) Anonymous allegations will not normally be considered, however if compelling evidence is received anonymously by College officials, an investigation process may be initiated.
- g) Complaints shall contain sufficient details to enable the respondent to understand the matter that is to be investigated. A complaint in writing shall identify the person or persons who made the allegations if the Director deems that such identification is necessary to evaluate the complaint. No such person shall be identified unless that person has expressly so agreed.

4.3 Investigation Procedure

- a) Upon receipt of a complaint, the Director shall, within 10 days, conduct a preliminary investigation into the allegation and discuss with the faculty/staff member whose conduct is in question, the nature of the complaint and the circumstances surrounding it in an attempt to achieve a satisfactory resolution of the complaint.
- b) For each complaint, the Director will consult with relevant parties to determine if a satisfactory resolution of the complaint is possible.
- c) In the event the Director, at his/her discretion, initially determines that the formal complaint is without foundation, then the Director will consult with the President and other relevant College officials regarding the basis of this decision. Following this consultation the Director may dismiss the complaint and immediately advise the complainant accordingly providing written justification for the decision. The complainant may request a committee to review the decision within 10 days as described in section (f) below.
- d) If, in the opinion of the Director, a satisfactory resolution of a formal complaint is possible, the Director shall attempt such a resolution.
- e) In the event the Director is unable to achieve a satisfactory resolution, or if the Director determines that an investigation is required, he/she will refer the complaint to a committee for investigation. Such action will take place within 10 days of the preliminary investigation.
- f) The Director, in consultation with the appropriate Vice President, will strike a committee of three independent persons with relevant experience in the area of research and scholarship involved in a particular case, to conduct an investigation. No member of the department/school involved shall be among the

- three persons appointed. The committee will conduct interviews as they deem appropriate to discern the facts. Persons external to the College may be appointed if necessary. The committee will conduct interviews with the complainant, the researcher, and other parties as they deem appropriate to discern the facts. All interviews and meetings will be conducted in camera and will be recorded. During any meeting with the researcher, the researcher is entitled to be accompanied by an advocate of the researcher's choosing at his/her expense. The researcher has the right to know the allegations against him/her and has the right to answer the allegations both orally and in writing.
- g) The committee will address the allegations made and determine if they have merit and in doing so will act fairly and conduct its proceedings in a manner consistent with the principles of natural justice.
 - h) The committee shall make its final decision within two calendar months from its appointment and will report in writing to the Vice-President, who will provide a copy of the report to the individuals named and to the Director within five working days.
 - i) Parties to the complaint, either the complainant or the respondent, may appeal the decision of the investigating committee to the Vice-President within five working days of the investigating committee's decision. The Vice-President reviews the documentation and seeks additional information at her/his discretion. The Vice-President's decision will be final.
 - j) In cases where the committee determines that misconduct or breach of this policy has occurred, such a determination shall be cause for disciplinary action in accordance with College policies.
 - k) For students, disciplinary action will reflect the severity of the misconduct and vary accordingly. The following sanctions may be imposed where a student is found to have breached the policy:
 - i. Admonition and Warning – a notice to the student that she/he is violating or has violated an institutional regulation or expected standards of behaviour.
 - ii. Probation – a written reprimand for violation of specified regulations. Probation is for a designated period of time and includes the probability of more severe disciplinary sanctions if the student is found to be violating any institutional regulation during the probationary period.
 - iii. Loss of Privileges - denial of specified privileges for a period of time.
 - iv. Restitution – compensation for loss, damage or injury. This may take the form of appropriate service and/or monetary or material replacements.
 - v. Work assignments, service to the College, or other relevant assignments.
 - vi. College Suspension – separation of the student from the College for a definite period of time, after which the student is eligible to apply to return. Conditions for readmission and registration may be specified
 - vii. College Expulsion - permanent separation of the student from the College. The student's official record will read: Involuntary Withdrawal - Student Misconduct.

- viii. Fine.
- l) For College employees disciplinary action will reflect the severity of the misconduct and will vary accordingly. The following sanctions may be imposed to punish a staff member found to have breached the policy:
 - i. Admonition and Warning – a notice to the staff member that the he/she is violating or has violated an institutional regulation or expected standards of behaviour.
 - ii. Discipline – a written reprimand for violation of specified regulations. Discipline may include the probability of more severe disciplinary sanctions if the staff member is found in further violation of any institutional regulation.
 - iii. Loss of Privileges - denial of specified privileges for a period of time.
 - iv. Restitution – compensation for loss, damage or injury. This may take the form of appropriate service and/or monetary or material replacements.
 - v. Progressive discipline up to and including dismissal from the College.
 - vi. Fine.
- m) In the case of unfounded allegations, efforts will be made by the College to protect or restore the reputation of those unjustly accused.

4.4. Maintenance of Records

- a) For each complaint filed, a complete Report will be made and retained.
- b) Reports and records will be kept by the Director for a period of 10 years, and access to such records will be by application to the Director. The College will conform to all relevant access to information legislation in such applications.
- c) The report shall include a copy of the following:
 - Original complaint;
 - Any written response(s), pertinent documents and records;
 - An outline of the process followed;
 - Membership of the committee and rationale for member selection;
 - Clear and convincing evidence for the conclusions reached;
 - Sanctions to be imposed (if applicable);
 - Proposed plan to restore reputations and protect complainants that have acted in good faith;
 - Any other relevant details.

4.5 Reporting of Misconduct to Granting Agencies

- a) Where misconduct is found to have occurred, the College will submit a comprehensive report of the determinations and actions taken to any granting agency involved in the research project within 30 days of such a finding.
- b) In cases where a granting agency requests an inquiry/investigation, a

comprehensive report, regardless of findings, will be submitted to the agency within 30 days of completion of the inquiry/investigation.

- c) Where misconduct is found to have occurred, the College will take immediate steps to protect the administration of funds if required.

RELATED DIRECTIVES

A03 Copyright, Legal Deposit and Plagiarism

A11 Freedom of Information

A21 Rights, Freedoms, Responsibilities and Code of Conduct for the Algonquin College Community

A16 Acceptable Use of Algonquin Computer Networks and Accounts

D11 Conflict of Interest

E16 Academic Discipline

E19 Confidentiality and Student Records

E27 Student Misconduct

H01 Research Administration

H04 Research Involving Animals, Biohazards or Radioactive Materials

H05 Intellectual Property

Academic Employee and Support Staff Employee Collective Agreements

This policy was adapted from the NSERC document *Tri-Council Policy Statement: Integrity in Research and Scholarship*; Nova Scotia Community College's *Research Integrity Policy* and Brock University's *Policy on Integrity in Research and Scholarship*.

(original signed by)

Vice President, Academic

(original signed by)

Executive Director,
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