

CANADORE COLLEGE
OPERATIONAL POLICY MANUAL

TITLE: Responsible Conduct of Research

EFFECTIVE DATE: May 23, 2013

1. SCOPE

1.1 Authority

This policy is issued under the authority of the President.

1.2 Application

This policy applies to all research conducted under the auspices or jurisdiction of the College regardless of location, source of funds, or use of College resources. In addition, researchers who apply for or hold Tri-Agency funding are required to adhere to the *Tri-Agency Framework: Responsible Conduct of Research*.

2. PURPOSE AND PRINCIPLES

2.1 Purpose

2.1.1 This policy articulates the College's commitment to promote research and scholarly activity that creates opportunities for faculty inquiry and enhances learning for students in a manner that assures the integrity of the research process.

2.1.2 This policy addresses the conduct of and expectations for researchers with respect to research activities and provides the authority for procedures that deal promptly and fairly when integrity is brought into question.

2.2 Principles

2.2.1 The College provides a framework for research activity along with guidance and support for those who participate in research activities.

2.2.2 Responsible conduct of research involves adherence to high standards of research integrity and includes: careful supervision of research, including research conducted by students; competent use of methods; adherence to ethical standards of practice; and, the refusal to engage in, or condone, instances of fraud or misconduct.

2.2.3 Researchers must:

- a) Understand their duties of honest and thoughtful inquiry, rigorous analysis, commitment to the dissemination of research results, and adherence to the use of professional standards.
- b) Provide a culture that supports best practices and that fosters researchers' abilities to act honestly, accountably, openly and fairly.

- c) Use research funds responsibly and ethically.
 - d) Use responsible and ethical practices in applying for funding and conducting research.
 - e) Use fairness in the conduct of research and in the process of addressing allegations of breaches.
- 2.2.4 When notified of an alleged policy breach, the College strives to protect the privacy of the complainant(s) and respondent(s) as much as possible
- 2.2.5 Complainants making an allegation of policy breach in good faith or providing information related to an allegation of policy breach will be protected from reprisals to the extent possible and consistent with relevant legislation.

3. DEFINITIONS

3.1 Allegation:

A statement, provided in writing to the Vice President Academic (VPA) outlining issues or claims related to perceived misconduct in research and scholarship.

3.2 Investigation:

The process of gathering information for the purpose of evaluating an allegation of research misconduct.

3.3 Research:

An undertaking designed to extend knowledge through a disciplined inquiry or systematic investigation. It is the advancement of knowledge through scholarly, scientific and creative activity.

3.4 Scholarship:

The pursuit of, creation, and dissemination of knowledge through research and other scholarly activities.

3.5 Research and scholarly activities:

Any internally or externally funded activities which the College and the academic community in general consider to be research and scholarly activities, including:

- a) Finding solutions to practical problems through the application of knowledge and innovation;
- b) Experimental discovery;
- c) Activities leading to the publication of books and monographs and contributions in edited books;
- d) Preparation of papers for submission to refereed and non-refereed journals, and those delivered at professional meetings;
- e) Consulting and contract work under the auspices of the College and other professional activities involving research;
- f) Participation on panels;
- g) Unpublished research, including work in progress;
- h) Editorial and refereeing duties;

- i) Creative works and performances; and
- j) Course writing and course design including creation of technological materials.

3.6 Non-Compliance/Misconduct/Breach

Occurs when there is conduct and/or activities that intentionally, negligently, recklessly, or deliberately deviate from accepted standards in the execution of research adopted by the College. Misconduct includes, but is not limited to, the following:

3.6.1 Scholarly/research misconduct:

- a) Submitting an application or related document with inaccurate, or false information; with a list of co-applicants or partners without their agreement; and/or when deemed ineligible by an agency for a breach of conduct;
- b) Plagiarizing and/or claiming credit for the thoughts, ideas, work and/or intellectual property of someone else and misrepresenting them as one's own without proper acknowledgement;
- c) Abusing supervisory power affecting collaborators, assistants, students and/or others associated with the research;
- d) Failing to acknowledge or recognize the contribution of others, including students, assistants and collaborators;
- e) Attributing authorship to someone who did not participate in the research sufficiently to take public responsibility for its intellectual content;
- f) Using the work of other researchers without permission and/or failing to respect their intellectual property rights, in accordance with College policy, in the conduct of research or publication of research results;
- g) Failing to disclose or manage any real, potential or perceived conflict of interest where a person's judgment, be it commissioned work, requests for reviews of grants or manuscripts, may be influenced by personal interests or commitments;
- h) Failing to appropriately manage any real, potential, or perceived conflict of interest, in accordance with College policy, preventing one of more objectives of the *Tri-Agency Framework: Responsible Conduct of Research* from being met;
- i) Failing to disclose any conflict of interest to sponsors or to those who commission the research;
- j) Using archival material in violation of the Copyright Act;
- k) Failing to use scholarly and scientific rigour and/or integrity in obtaining and analyzing data;
- l) Republishing of researcher's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgement of the source or justification;

- m) Fabricating, falsifying, or willfully misrepresenting research data and findings; and/or
- n) Destroying research records to avoid detection of wrongdoing or in contravention of any agreements, policies or laws.

3.6.2 Financial misconduct:

- a) Misusing, misapplying, or diverting funds allocated for research through the failure to account for, or erroneous reporting of, expense claims or salaries for researchers or participants;
- b) Misrepresenting financial records related to funds;
- c) Failing to comply with the terms and conditions of grants and/or contracts for sponsored research; and/or
- d) Failing to follow College financial policies and procedures.

3.6.3 Legal breaches/unlawful misconduct:

- a) Failing to comply with relevant federal or provincial statutes or regulations and/or College policies, including those that apply to the safeguarding of researchers, certain types of research, human participants, welfare of animals, and/or the health and safety of the public;
- b) Failing to comply with the regulations of the relevant agency concerning the conduct of research; and/or
- c) Failing to meet other relevant legal requirements that relate to the conduct of research.

4. POLICY

- 4.1 The College has an open and positive environment of academic freedom that protects the right of the scholar to pursue the truth through research and upholds the independence of the higher education research community.
- 4.2 The primary responsibility for adherence to ethical principles, rigour, intellectual honesty, and accountability rests with researchers.
- 4.3 Members of the academic community assume personal responsibility for the ethical and intellectual quality of their research and ensuring that research involving human subjects meets high scientific and ethical standards.
- 4.4 The researcher's commitment to the advancement of knowledge implies duties of honest and thoughtful inquiry, rigorous analysis, and accountability for the use of professional standards.
- 4.5 The College is to provide education on the importance of responsible conduct and provides a clear understanding of the high level of ethical standards required in research, teaching, and other aspects of scholarship.
- 4.6 The College is to provide appropriate support mechanisms for personnel in order to ensure that research is conducted with intellectual competence, honesty, and integrity.
- 4.7 Regardless of funding sources, the College and researchers under the auspices of the College are to provide true, complete, and accurate information in funding applications

and represent themselves, their research, and their accomplishments in a manner consistent with the norms of the relevant field.

- 4.8 The College is to meet or exceed the minimum requirements, roles, and responsibilities as set out by granting agencies including those in the *Memorandum of Understanding on the Roles and Responsibilities in the Management of Federal Grants and Awards*.
- 4.9 Individuals who conduct research and scholarship activities are to abide by the established standards and expectations and are accountable for the ethical and intellectual quality of their work.
- 4.10 Incidents of honest error intrinsic to the research process, such as conflicting data, differences of opinion in the interpretation of data, or differences in research design shall not be considered research misconduct.
- 4.11 Research activities shall be conducted in a manner that considers community impact and, where possible, minimizes negative social and environmental consequences.
- 4.12 To ensure the publication of accurate scholarly reports, the following requirements must be met:
 - a) The active participation of each author in verifying and taking responsibility for the part of the manuscript that he or she has contributed; and
 - b) The designation of one author who is responsible for the validity of the entire manuscript.
- 4.13 The principal criterion for authorship requires that the author(s) have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions and the authorship policies of relevant publications.
- 4.14 The concept of 'honorary authorship' is not acceptable.
- 4.15 Students are to be given the appropriate recognition for authorship or collection of data in any publication.
- 4.16 All members of the College community have an obligation to report all circumstances that may constitute research misconduct.
- 4.17 The College responds promptly to and investigates all allegations of misconduct involving researchers, faculty, administrators, staff, or students. Investigations shall be conducted impartially and adhere to the principles of procedural fairness.
- 4.18 A copy of allegations of misconduct will be sent to the Secretariat on Responsible Conduct of Research (SRCR) if the research is supported by the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC) or the Social Sciences and Humanities Research Council (SSHRC).
- 4.19 Failure to comply with this policy may result in damage to internal and external relationships, financial loss, property damage, reputational harm, legal action, and/or a diminished ability to achieve the mission of the College and as such the College views failure to comply as a serious violation of academic duty.

5. ROLES AND RESPONSIBILITIES

5.1 President

The President is responsible for the overall management and operation of the College. The President ensures that the policy is implemented and that compliance is monitored.

5.2 Vice President Academic

The Vice President Academic is responsible for the effective implementation of this policy and is to resolve any disputes arising over policy interpretation.

6. EVALUATION

6.1 This policy will be evaluated every three years.