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Approved by: Academic Advisory Council – June, 2012		
Approved by: Senior Executive Committee – June , 2012		
Title Policy on Responsible Conduct of Research	Effective Date June, 2012	Replaces Policy on Integrity in Research and Scholarship – June 14, 2007

1. Overview of Policy

Cambrian College is committed to maintaining the highest standards of research integrity and scholarship. It is incumbent upon all members of the College community to practice and promote ethical behavior. The purpose of this policy is to promote a clear understanding of research integrity and to clearly outline procedures for responding to allegations for misconduct.

Integrity requires not only the avoidance of wrong doing but also the careful supervision of research, including that conducted and/or authorized by administration, faculty, support staff and students. Adherence to the highest standards of intellectual honesty, integrity in research, appropriate methodology, ethical standards of discipline, and the refusal to engage in or to condone instances of fraud or misconduct remain paramount.

The College's research policies are meant to protect both the individual researcher/employee and the institution. To this end, it is important that individuals involved in research be knowledgeable about the College's policies. Via the Planning and Research Department, individuals conducting research will be provided with a copy of the College's Research Policies as part of the research application package. Staff are available to clarify any questions regarding ethical guidelines and procedures. The research office will develop and deliver workshops about the research application review process and issues involving research integrity and conflicts. The College's research policies are available on Staffnet under Planning and Research and on the College website under Research. When in question, Cambrian College defers to the guidelines put out in the Framework (2011): Tri-Agency Framework: Responsible Conduct of Research <http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>.

2. Definitions of Misconduct

Academic Dishonesty:

1. Failure to recognize the substantive contributions of others including: co-researchers, students, or other collaborators.
2. Using the unpublished works of others without their permission and/or due acknowledgement.
3. Failure to obtain the permission of the author prior to using unpublished work.
4. Fabrication and/or falsification of research data, analysis and/or reporting.
5. Plagiarism, theft of ideas or intellectual property.
6. Forgery of documents including academic credentials.

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7. 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.
8. Use of archival material in violation of the Copyright Act.
9. Abuse of supervisory power affecting collaborators, assistants, students and others associated with the research or any behaviour contrary to Code of Conduct of the College.
10. Material 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.
11. Material failure to meet other relevant legal requirements that relate to the conduct of research, or, for grant holders, material failure to comply with regulations of the relevant agency or agencies concerning the conduct of research.

Financial misconduct:

1. Failure to use research funds for the purpose for which they were given in accordance with the College’s policies and guidelines governing the use of and record-keeping for such funds.
2. Failure to disclose a financial or personal interest in any transaction chargeable to research grant or contract.
3. Failing to inform the College of a substantial change in the use of research funds.
4. The use of College resources, facilities or equipment without the approval of the College.

Conflict of Interest:

1. Failure to comply with the College policy on Conflict of Interest.
2. 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.

3. Data Collection and Retention

Stringent standards of honesty and integrity in the collection, recording and storage of data is of the utmost importance in advancing the progress of scientific and scholarly inquiry. A researcher must have access to his or her original data in order to respond to questions regarding their research. Error may be mistaken for misconduct when the primary experimental results or data are unavailable.

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1. Original data must be retained by the principal investigator(s) for a minimum of five years or such longer periods as required by funding agencies or funding oversight agencies.
2. Principal investigators shall set guidelines for how data will be recorded in his/her research group. Data storage shall follow the conventions and conform to the standards of the principal investigator's discipline. For example, in research laboratories, original results shall, where practical, be recorded in bound notebooks with numbered pages. Data stored in electronic formats must be done in ways that preserve their confidentiality and the integrity of the data.
3. Original data shall not be destroyed while researchers, colleagues, College officials, or readers of published results may raise questions answerable only by reference to the data.
4. Data shall only be used for the purpose it was originally collected.
5. 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 the grants, contracts, or other arrangement for the conduct of the research.
6. Issues of confidentiality will arise in some disciplines and areas of research and these must be appropriately addressed during the review process. Researchers conducting studies involving humans must follow the guidelines outlined in the Tri-Council Policy Statement, *Ethical Conduct for Research Involving Humans* (TCPS 2).
7. Entitlement to ownership, reproduction and publication of primary data, software another products of research should be reached among collaborators, supervisors, students and, where applicable, the College before the research is undertaken. The agreement shall be in accord with the College's policy on Intellectual Property.

4. Contributors/Authorship

In order to ensure the publication of accurate scholarly reports, two requirements must be met:

- a. the active participation of each author in verifying and taking responsibility of the part of the manuscript that they have contributed.
- b. the designation of one author who is responsible for the validity of the entire manuscript.

The assistance and substantive contributions of all contributors should be recognized

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through acknowledgement or authorship. The principal criterion for authorship should be that the person(s) made significant scholarly and/or practical contributions to the contents of the publication or presentation.

5. Responsibilities of Principal Investigators and Supervisors

Principal Investigators are responsible for overseeing all the research conducted by their students and research staff. Specifically, principal investigators are:

1. To ensure all research is conducted with the highest level of scholarly and academic integrity.
2. To provide their collaborators, students, staff, and assistants with all reasonable information through training and education to prevent misconduct as defined in this policy.
3. To actively monitor the work of students, research assistants and others, and oversee the designing of research methodology and the processes of acquiring, recording, examining, interpreting and sorting data. Simply editing the results of a research project does not constitute supervision.
4. To hold mutually respectful discussions among all research personnel in a research unit on a regular schedule to contribute to the scholarly efforts of group members and to provide informal review.
5. To verify the authenticity of all data or other factual information generated in his or her research.

6. Procedures for Investigation of Alleged Breach of the Integrity Policy

This policy is applicable to all allegations of breach of the Research Integrity Policy, including without limitations:

- a. Academic Dishonesty;
- b. Financial Misconduct;
- c. Data collection and retention;
- d. Authorship;
- e. Responsibilities of Principal Investigators and/or Supervisors;
- f. Conflict of Interest.

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6.1. Conflict of Interest

Any one conducting or involved in research at the College must read and comply with the College’s Policy on Conflict of Interest. When a potential or actual conflict exists, employees are expected to recognize and to disclose such conflicts to the Director of Planning and Research.

6.2 Complaint Procedure

1. All faculty, students, research assistants, and staff have an obligation to report to the Director of Planning and Research, any situations which they believe may breach Cambrian College’s Policy on Responsible Conduct of Research. Complaints received by any other individual must be channeled to the Director.
2. Anonymous allegations will not normally be considered; however, if compelling evidence is received anonymously by the Director, the investigation process may be initiated. The Director shall keep all inquiries regarding possible breaches of integrity strictly confidential.
3. The Director shall take such steps as may be reasonable to protect against retribution or coercion of complaints, including students, staff and research assistants under the supervision of faculty members whose conduct is the subject of misconduct allegations.
4. Before the Director takes any steps against the individual whose conduct is the subject matter of the complaint a formal complaint must be made in writing. Such a complaint may be formulated by any person who has reviewed the relevant information.
5. Complaints shall contain sufficient details to enable the respondent to understand the matter that is to be investigated. The formal complaint 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.
6. The Director will ascertain the severity of such allegations, and may then commence a thorough review of the project within two weeks of the reported breach. The Director will

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discuss, with the employee whose conduct is in question, the nature of the complaint and the circumstances surrounding it.

7. Such investigation may require the examination of financial records related to the project, issues pertaining to methodology or reporting data.
8. In the event the Director, at his/her discretion determines the formal complaint is without foundation, the Director may dismiss the complaint and immediately advise the complainant accordingly providing written justification for the decision. The complainant will be given the opportunity to appeal the Director’s decision.

All appeals will be directed to the Vice-President Academic. Upon reviewing the complaint and the Director’s justification for dismissal, the Vice-President Academic reserves the right to request a formal investigation if s/he feels it is warranted. The decision of the Vice-President in the matter of the appeal will be final.

9. If, in the opinion of the Director, a satisfactory resolution of a formal complaint is possible, the Director shall attempt such a resolution. The Director, in conjunction with the parties involved (both the complainant and respondent), will have 10 working days from receipt of the complaint to reach a satisfactory resolution.
10. 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.
11. The Director and the Vice President Academic will strike an ad hoc committee of three independent persons with relevant experience in the area of research and scholarship to conduct an investigation. No member of the department/school involved shall be among the three persons appointed. The investigating committee has the authority to decide on misconduct; upon conclusion of the complaint process all decisions made by the committee are considered final and binding on the institution.
12. The committee will conduct interviews as they deem appropriate to discern the facts. As part of the investigation, both the complainant and respondent will be given an opportunity to comment on the allegations.
13. During any meeting with the respondent, the respondent is entitled to be accompanied by an advocate or union representation of the respondent’s choosing. The respondent has the right to know the allegations against him/her and has the right to answer the allegations both orally and in writing.

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14. Any investigation or proceedings pursuant to Responsible Conduct of Research will be subject to the rules of natural justice.

15. The committee shall make its final decision within two calendar months from its appointment and will report in writing to the Vice-President Academic, who will provide a copy of the report to the parties involved (both complainant and respondent) and to the Director of Planning and Research, within five working days of the conclusion of the investigation.

To ensure a fair, impartial judgement is reached, every effort will be made by the investigating committee to obtain clear and objective information. The final report will include all relevant information pertaining to the allegation(s) and the decision-making process so as to demonstrate that the committee’s decision was based on clear and convincing evidence. The report shall include:

- A statement concerning the nature of the complaint.
- A list of the committee members and how they were selected.
- A description of the process used in investigating the complaint.
- A list of persons interviewed or that provided information to the committee.
- The nature of any additional information used in rendering a decision.
- Justification to support the conclusion(s) reached by the committee.
- Proposed plan to ensure that participants’ reputations are not unduly affected by their involvement in the investigation.

16. In the event that either the respondent or the complainant is not satisfied with the decision regarding misconduct, either the respondent or the complainant has the right to appeal the committee’s decision. An appeal must be requested within 5 working days from the time the report was released.

As part of the appeal process, the respondent or complainant may ask the Chair of the investigating committee to see the minutes of the meeting(s) where the complaint was discussed. The appellant also can request of the Chair that the committee reconsider the case. The appellant may appear in person to provide an opportunity for rebuttal. The individual will withdraw before the committee makes a ruling on the reconsideration. The Vice President will be present during any discussions involving reconsideration of the committee’s decision. Decisions regarding the appeal will be made by the Vice President Academic and are considered final and binding on the institution.

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There is not right of further appeal.

17. In cases where the committee determines that the misconduct or breach of the Policy has occurred, the Committee will provide a summary of their report and recommendations to the appropriate disciplinary bodies within the College.
18. In the case of unfounded allegation, the College will strive to compensate fairly anyone inconvenienced by such allegations. The College will also consider taking disciplinary action against any person(s) responsible for making unfounded allegations recklessly or in bad faith for the purpose of causing mischief.
19. To protect person(s) who have made an allegation in good faith as well as all persons (e.g., witness) involved in an inquiry/investigation, any information associated with the investigation (e.g., final report, minutes of the investigating committee) will be kept in strictest confidence. Only the Vice-President Academic, Director of Planning and Research and parties directly involved in the investigation are privy to the final report. During the investigation, anyone asked to provide information will be reminded of the importance of ensuring confidentiality. Persons concerned about possible repercussions stemming from their involvement in the inquiry/investigation will be encouraged to discuss the matter with the Director of Planning and Research. The Director will make every effort to ensure that no person’s reputation is unfairly affected by involvement in the matter.
20. Policies regarding informing funding Agencies of misconduct or alleged misconduct are in keeping with the guidelines provided in the Tri-Agency Framework: Responsible Conduct of Research.

In cases where the Agency from whom the researcher received funding requests the investigation, a full copy of the committee’s report will be forwarded to the Agency(ies) within 30 days of the conclusion of the investigation, regardless of **whether or not misconduct** is concluded to have occurred.

If the investigation resulted from an internal complaint within the College, and misconduct is found to have occurred, the College will forward a copy of the report within 30 days of the conclusion of the investigation to the funding Agency(ies).

Where misconduct is found to have occurred, the researcher will no longer have access to the administration of granting funds until the matter is resolved.

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Reports and records will be kept in the office of Planning and Research for a period of 10 years. Access to such records will be by application to the Director of Planning and Research. The College will conform to all relevant Freedom of Information Acts in such applications.

7. Discipline and Penalties

In cases where misconduct or breach of the Policy has occurred, such determination shall be cause for discipline in accordance with either the appropriate Collective Agreement, or the academic regulations in place.

Penalties for misconduct or breach of the Policy may include one or more of the following:

1. Ongoing monitoring of the research project, with scheduled reports provided by the principal investigator(s) to the Chair of ARPC or REC;
2. Suspension of the research project;
3. Reimbursement to the College of any misappropriated funds;
4. A summary report of the investigation into the allegations being placed in the personnel file of an employee and/or academic file of a student;
5. Suspension of duties of an employee for a prescribed period and/or suspension of a student;
6. Dismissal of an employee and/or expulsion of a student;
7. Public disclosure of the breach.

Cambrian College will endeavour to remedy any damage or inconvenience caused by the misconduct or breach of integrity of the researcher(s).

7.1 Tri-Council Implications of Disciplinary Action

The Councils request that institutions which have carried out enquiries of alleged misconduct involving projects funded by the Councils provide the appropriate Council(s) with the report of their findings. The Council(s) will consider the report of their findings and may request clarification or additional information.

Cambrian College of Applied Arts and Technology

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In cases where misconduct is concluded to have occurred, the Council(s) will also consider imposing its/their own sanction(s) in relation to grants made to the individual(s) implicated, in accordance with the Council policies as outlined in the Tri-Agency Framework.