

POLICY AND PROCEDURE MANUAL

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Policy Section:	APPLIED RESEARCH	Policy No: 10.4
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10.4 RESEARCH INTEGRITY AND SCHOLARSHIP POLICY

Introduction

St. Clair College is committed to ethical conduct in all of its scholarship and research initiatives. All College personnel involved in research or scholarship will adhere to ethical principles in these activities. The College will provide the ethical framework for such activities, and will provide ongoing education, guidance, and support on research and scholarly integrity. The Integrity in Research and Scholarship Policy will be posted on the College website; professional development workshops on issues relevant to college researchers will be attended by College faculty and staff as appropriate.

Purpose

The primary purpose of this policy is to establish a code of conduct to ensure and maintain the integrity of research and scholarship activities at St. Clair College.

St. Clair College staff must make all reasonable efforts to ensure all employees and non-employees involved in research and scholarship at the College are aware of, and comply with this policy.

Principles of Research Ethics

1. Intellectual integrity in all research or scholarship actions. College staff will conduct research and scholarship with honesty and integrity, ensuring intellectual competence in these initiatives.
2. Stewardship of resources. College researchers will utilize facility, infrastructure, and other resources efficiently and honestly, ensuring good value for the use of such resources.

3. Utilization of grant monies as outlined in grant agreements. College researchers will respect all requirements and guidelines in agreements for funds provided by funding organizations.
4. Intellectual property protection. College researchers will respect the college policy on intellectual property, and respect privacy and confidentiality concerns in all research activities.
5. Conflict of interest (actual or perceived) will be disclosed to the Vice President, Academic at any time such conflict may become apparent during research activities.
6. Respect for human subjects where such subjects are part of research activities. Any research project which proposes the use of human subjects under any conditions must be approved by the Research Ethics Board.
7. Maintenance of records and documentation. College researchers will maintain records related to activities and finances with responsibility for such records residing with the Applied Research and Development department.
8. Professional development for college community. The College will ensure appropriate training and support for College researchers, and, where appropriate, student research assistants. The College will also provide on-going professional development activities in support of its research mandate.

Selection of Research or Scholarship Projects

Projects selected for applied research activities will be selected on the basis of the following criteria:

1. Quality of proposal for research or scholarship
2. Educational merit for students and professional development merit for faculty and staff
3. Relationship to College strategic research direction and capacity
4. Availability of essential resources: human, facilities, space, equipment, fiscal, expertise
5. Feasibility of completion related to time constraints, risk exposure, impact on business and communities, impact on the environment, level of corporate expertise and support, and the overall viability of the project (combination of all factors that affect project success)
6. Industry or community client financial or other support
7. Intellectual property considerations

Collection and Retention of Research Data

A researcher must retain original data related to research activities in order to respond to questions regarding the research. Original data should be stored within the Applied Research and Development department at all times and should be preserved as long as there is a reasonable need to refer to the data normally for a period of no less than seven years. In no instance should primary data be destroyed while investigators, colleagues or readers of published results may raise questions requiring reference to original data.

Entitlement to ownership, reproduction and publication of primary data, software and other products of research or scholarship will vary according to the circumstances under which the project was conducted. Intellectual property guidelines as per the College Intellectual Property Policy will govern these issues.

Issues of confidentiality may arise in some areas of research, and these will be addressed by the Applied Research and Development department. A non-disclosure agreement will be administered to keep information confidential. In any instance where confidentiality is violated by a St. Clair College employee, the College will take action to the extent deemed appropriate by the College.

Authorship of Research or Scholarship Results

In order to ensure the publication of accurate scholarly reports, each author must verify and take responsibility for the part of the publication to which he or she has contributed. One author will be designated as the main author of the document, normally the principal researcher or scholarship leader. Other authors must have made a substantial material contribution (other than a financial contribution) to be named as an author.

Students and research assistants must be given appropriate recognition for authorship or collection of data in any publication.

Responsibilities of Researcher or Scholarship Leader

1. To ensure that all research is conducted to the highest possible ethical standard and with academic integrity
2. To provide collaborators, students, staff and assistants with information necessary to prevent misconduct as defined in this practice
3. To monitor the work of students, research assistants, etc. and oversee the designing of research methodology and the processes of acquiring, recording, and analyzing of research data
4. To hold regular meetings, discussions, etc. to ensure that all researchers are provided with timely information
5. To verify the validity of research results and all data when requested
6. To keep complete and accurate records of data, methodologies, and findings
7. To properly reference others' work and obtain permission, where applicable, to use published and unpublished work

Conflict of Interest

Please refer to policy 10.2 Conflict of Interest Research Policy for further information regarding conflict of interest in research.

Definitions of Misconduct in Scholarly Research

The following list contains examples of scholarly misconduct.

1. Fabrication, falsification of research data
2. Plagiarism, theft of ideas or intellectual property, or appropriation of another's work
3. Failure to acknowledge or recognize the contribution of others including co-researchers, students, research assistants
4. Use of the unpublished work of others without permission
5. Use of archival material in violation of the Copyright Act
6. Abuse of supervisory power affecting collaborators, assistants, students and others associated with the research

7. Financial misconduct: failure to account for or misapplication or misuse of funds acquired for support of research
8. Material failure to comply with relevant federal or provincial statutes or regulations for the protection of researchers or human participants, or failure to comply with the regulations of the relevant agency concerning the conduct of research.
9. Material failure to meet other relevant legal requirements that relate to the conduct of research.
10. Failure to reveal any material conflict of interest to sponsors or to those who commission the research

Allegations of Misconduct

Any allegations of misconduct must adhere to the following process for identification and resolution. The misconduct may apply to misconduct in scholarly research, data collection, gathering and retention, authorship, responsibilities of principal researchers, conflict of interest, or other misconduct.

1. The allegation of misconduct must be made in writing, signed, and dated, and forwarded to the Vice President, Academic, normally within six months of the alleged misconduct by the administrator that receives it. The allegation must contain sufficient detail to enable the respondent to understand the allegation. The Vice President, Academic may require that additional information be provided in the complaint. Anonymous allegations will not normally be entertained. However, if the evidence is compelling, the Vice President, Academic may elect to initiate an investigation into the complaint.
2. The Vice President, Academic may resolve the allegation after meeting with the relevant parties and render a decision in writing. The respondent will be informed of his or her right to have a third-party present at this meeting (and any future meetings). The Vice President, Academic may also determine that insufficient evidence exists for a complaint and may dismiss the allegation.
3. The Vice President, Academic will determine whether a formal investigation is warranted within two weeks of the allegation. The Vice President, Academic will appoint a three-person investigation committee of academics, one of whom should be external to the College. A committee chair will be elected and will determine the process for obtaining and recording necessary evidence. While the Investigation Committee reports its findings to the Vice President, Academic, the Vice-President does not participate in the investigation.
4. The Investigation Committee will ensure the identification and gathering of all relevant documentation. Any and all persons relevant to the allegation will be offered the opportunity to present allegations and rebuttals. The privacy of all individuals will be protected at all times during the complaint process, and documentation and materials will be recorded and held confidential under the jurisdiction of the Office of the Vice President, Academic. Access to the information must follow Freedom of Information guidelines.
5. The Investigation Committee may request additional documentation or external advice if relevant for the resolution of the allegation.
6. The Investigation Committee will submit its report and recommendations in writing to the Vice President, Academic with a copy to both the complainant and respondent. The

Investigation Committee has the authority to decide on misconduct and its decision is binding on the College.

7. The report should contain details of the complaint, selection of committee members and rationale for their appointment, methodology for the complaint investigation, evidence gathered, persons interviewed and details of interview, and recommendations for action (including any sanctions and methods to restore reputations).
8. An appeal to the Vice President, Academic may be made in writing within one week of the decision being communicated by either the complainant or the respondent.

Sanctions, Reporting and Records

1. Sanctions imposed by St. Clair College will be consistent with those imposed in other colleges and may include reprimand, suspension, or reparations made to the complainant or others. The rights of the accused under any existing collective agreement will be protected.
2. In the event that the allegations are deemed to be unfounded, the College will make every reasonable effort to protect and restore the reputation of those unjustly accused, persons who have made an allegation in good faith and others involved such as witnesses. In these cases, all documentation provided to the Investigation Committee will be destroyed. In the event that misconduct is found to have occurred in research supported by a funding agency, the Vice President, Academic will inform the Financial Services office to withhold any payments or dispersion of agency funds, if such action is deemed appropriate.
3. If the investigation was initiated at the request of one of one of the funding agencies, a full copy of the report will be sent to the Agency within 30 days of the conclusion of the investigation, whether or not misconduct is concluded to have occurred.
4. If the investigation was initiated internally within the College, and the research is supported by a funding agency, a full copy of the report will be sent to the Agency within 30 days of the conclusion of the investigation, in cases where misconduct is concluded to have occurred.
5. Reports and records will be kept by the Vice President, Academic office in a confidential file for a period of 10 years and access to such records will be by application to the President's office. Access to reports and records are subject to the Freedom of Information and Protection of Privacy Act.