



Purpose: It is understood that research and scholarly pursuit can lead to controversial conclusions or may be initiated by unintentional error. It is also understood that scholarly debate may arise over matters such as research design and interpretation of findings. It is expected that such controversy will be conducted in the context of fairness and honesty and that resolutions will be achieved within the context of natural justice.

Research may be either empirical or applied in its design.

Responsibility: Vice President, Academic and Research

Definitions:

- a. **Academic Freedom** is the freedom to conduct research, to publish the results of research, to produce and perform creative works, to responsibly challenge prevailing opinion and to participate in academic or civic bodies without interference, censure, or retribution from the College or its management.
- b. **Academic Responsibility** relates to adherence to respect for evidence, impartial reasoning, and honesty in evaluation and reporting.
- c. **Academic Integrity** is a commitment, even in the face of adversity, to five fundamental values: Honesty, Trust, Fairness, Respect, and Responsibility. (Reference: *The Fundamental Values of Academic Integrity, The Centre for Academic Integrity, Duke University, 1999.*)
- d. **Research personnel** refers to any member of the Portage College Faculty Association, other employees of Portage College, and any third parties who may be engaged for the research process.
- e. **Research** is a systematic investigation to establish facts, principles, or generalizable knowledge.

Guidelines:

Portage College, its researchers and scholars will uphold the following principles:

1. *Recognize the substantive contributions of collaborators and students; use unpublished work of other researchers and scholars only with permission and with due acknowledgement; and use archival material in accordance with the rules of the archival source;*
2. *Obtain the author's permission 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;*
3. *Use scholarly and scientific rigour and integrity in obtaining, recording, and analyzing data and in reporting and publishing results;*
4. *Ensure authorship of published work includes all those and only those who have materially contributed to and share responsibility for the contents of the publication; and*
5. *Reveal to sponsors, universities, journals, or funding agencies, 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.*
6. Portage College certifies that they are not currently ineligible to apply for, and/or hold, funds from NSERC, SSHRC, CIHR or any other research or research funding organization world-wide for reasons of breach of responsible conduct of research policies such as ethics, integrity or financial management policies.
7. Researchers, other employees of Portage College, and any third parties involved in related research comply with all applicable Agency requirements and legislation for the conduct of research, including, but not limited to:



- i. 2nd edition of Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (TCPS 2)
 - ii. Canadian Council on Animal Care Policies and Guidelines
 - iii. Agency policies related to the Canadian Environmental Assessment Act
 - iv. Licenses for research in the field
 - v. Laboratory Biosafety Guidelines
 - vi. Controlled Goods Program
 - vii. Canadian Nuclear Safety Commission (CNSC) Regulations and
 - viii. Canada's Food and Drugs Act
8. Researchers, other employees of Portage College, and any third parties involved in related research:
- a. will comply with the *Tri-Agency Framework: Responsible Conduct of Research*, a joint framework of the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC), and the Social Sciences and Humanities Research Council (SSHRC) (the Agencies);
 - b. will not enter into confidentiality agreements or other agreements related to an inquiry or investigation that would prevent Portage College from reporting to CHIR, NSERC, and/or SSHRC through the Secretariat on Responsible Conduct of Research (SRCR);
 - c. are to be aware of and scrupulously be governed by the following Portage College guidelines:
 - i. E.1.5 Conflict of Interest
 - ii. B.4.2 Intellectual Property
 - iii. B.6.01 College Fraud
 - iv. B.3.2 Conflict of Interest in Research
9. Portage College will promote awareness and education of its renewed research commitment by the following means:
- a. Directing all research inquiries, proposals and studies to the Office of Teaching, Learning and Applied Research
 - b. Communicate to all faculty and staff:
 - i. The College's guideline on responsible conduct for research;
 - ii. Promote awareness of what constitutes responsible conduct of research, including:
 1. Agency (NSERC, SSHRC, CIHR) requirements;
 2. The process for addressing any allegations of breach of requirements;
 3. Consequences of filing to meet requirements;
 4. The process for addressing any allegations of breach of requirements;
 - iii. Making public statistical reports on any confirmed breaches of this guideline.

Procedures:

Investigative Process

Portage College will deal with any allegations or concerns of misconduct relative to Integrity in Research and Scholarship by, the Vice President, Academic and Research, and the Director, Human Resources and Compliance:

1. Receive allegations of misconduct in integrity in research and scholarship, recognizing that such an allegation may come from an identified or anonymous source.
2. Determine validity of the allegation by providing the respondent and complainant (if identified) with an opportunity to be heard; the respondent may appeal to the President of Portage College within five working days of learning that the Vice President, Academic and Research, and the Director, Human Resources and Compliance have determined that an investigation is required.
3. Notify the SRCR by letter that the complaint has been received and advise what, if any further action is planned.
4. Should it be determined that an investigation is required, the Vice President, Academic and Research, and the Director, Human Resources and Compliance will establish a committee whose members have the necessary



expertise; who are without conflict of interest, whether real or apparent; and which contains at least one external member who has no current affiliation with the Institution to:

- a. If the complaint involves research with NSERC funding, advise the Secretariat on Responsible Conduct of Research (SRCR) of the allegation and prepare letters and/or reports per Section 4.4 Reporting Requirements of the Tri-Agency Framework: Responsible Conduct of Research.
 - b. Conduct and document an appropriate enquiry(ies) within a reasonable period of time.
 - c. Protect the privacy of the individual(s) involved so far as possible.
 - d. Allow the accused individual(s) due process to respond to allegations.
 - e. Determine if there is misconduct in integrity in research and scholarship.
 - f. Determine appropriate actions per either or both (1) Section 3 (Term of Employment) of the Collective Agreement between the Portage College Board of Governors and Portage College Faculty Association, and/or (2) Articles 2 and 3 of the Collective Agreement of the Staff Association:
 - i. any sanctions imposed;
 - ii. any actions taken to protect or restore the reputation(s) or credibility of any person(s) wrongly accused of, or implicated in, misconduct in research, including procedures to ensure that if the charges have been dismissed copies of document and related files provided to third parties have been destroyed;
 - iii. any actions taken to protect the person(s) deemed to have made a responsible accusation; and
 - iv. independently, or at SRCR request in exceptional circumstances, take immediate action to protect the administration of Agency funds. Immediate actions could include freezing grant accounts, requiring a second authorized signature from an institutional representative on all expenses charged to the researcher's grant accounts, or other measures, as appropriate.
5. Inform the accused individual(s) of the actions taken; explain actions taken to the individual(s) who raised the concern, if other than anonymous.
6. The Vice President, Academic and Research, and the Director, Human Resources and Compliance will prepare a report for the SRCR on each investigation it conducts in response to an allegation of policy breaches related to a funding application submitted to an Agency or to an activity funded by an Agency.
- a. Subject to any applicable laws, including privacy laws, each report shall include the following information:
 - i. the specific allegation(s)
 - ii. a summary of the finding(s) and reasons for the finding(s);
 - iii. the process and time lines followed for the inquiry and/or investigation;
 - iv. the researcher's response to the allegation, investigation and findings,
 - v. any measures the researcher has taken to rectify the breach; and
 - vi. the institutional investigation committee's decisions and recommendations;
 - vii. actions taken by the Institution.
 - b. The Institution's report should not include:
 - i. information that is not related specifically to Agency funding and policies;
 - ii. personal information about the researcher, or any other person, that is not material to the Institution's findings and its report to the SRCR.

❖ **Full NSERC (Tri-Council Policy Statement: Integrity in Research and Scholarship) input available at http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/tpsintegrity-picintegritie_eng.asp**



- ❖ Full Framework (Tri-Agency Framework: Responsible Conduct of Research) available at <http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/#2>

Approved by Executive Committee:

President

February 20, 2018
Approved Date

February 20, 2018
Effective Date