

Research Integrity

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Research Integrity

Based on five core values defined in the Senate Academic Integrity Integrity Statement (2006):

Honesty
Trust
Fairness
Respect
Responsibility

Why Misconduct Occurs



- Ends viewed as justifying the means
- Lack of understanding regarding expectations and rules
- Poor communication
- Difficult relationships
- Poor judgment

How to Avoid Misconduct



- Understand policies and expectations
- Establish expectations with staff, students and collaborators
- Communicate well and stay in touch
- Get advice and assistance (VPR) when challenges arise

Expectation of highest professional ethics and scholarly integrity among researchers at Queen's University

Research Ethics and Integrity Policies

- Internally and externally driven
- Collective Agreement, Senate or other policies
 - e.g., Conflict of Interest, Publication of Research Results, Research Involving Humans/Animals, Academic Integrity, Integrity in Research

Expectation of highest professional ethics and scholarly integrity among researchers at Queen's University

Research Ethics and Integrity Policies

- Are evolving (becoming broader and more rigorous – rigorous – one will be judged by the norms and policies in place when the alleged misconduct took place)

Senate Policy on Integrity in Research



- Approved by Senate in 2009 and available at:
<http://www.queensu.ca/secretariat/senate/policies/RsrchInteg.pdf>
- Applies to faculty (including emeritus, adjunct, visiting), staff, students*, post-docs
- Consistent with existing policies/agreements
- Compliant with Tri-Council requirements
- Members of the Queen's community are responsible for:
 - Fulfilling integrity expectations of the policy
 - Reporting suspected cases of misconduct
- Policy outlines expectations, definitions, processes for reporting and investigating potential misconduct

*except when an integrity issue relates to research associated with a course

Senate Policy on Integrity in Research



Expectations

- Carry out research in an honest search for knowledge
- Base findings upon a critical appraisal and interpretation interpretation according to scientific, scholarly and/or and/or creative principles
- Deal fairly with colleagues and students
- Adhere to University ethics policies (including research research ethics committee guidelines) and meet ethical ethical standards of granting councils

Expectations (cont)

- Make results of work accessible
- Indicate affiliation with Queen's and properly attribute attribute significant contributions of others
- Retain research records within personal control for a minimum of 5 years from publication/presentation (longer (longer when required by external agencies)

Senate Policy on Integrity in Research



Misconduct in Research or Scholarly Activity – Examples

- Fabrication* - making up data or results and recording or reporting them
- Falsification* - manipulating research materials, equipment, or equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record
- Plagiarism* - appropriation of another person's ideas, processes, results, or words without giving appropriate credit
 - Failure to recognize contributions of others
- Using unpublished material of others without permission (e.g., permission (e.g., ideas in a research grant)

* http://ori.dhhs.gov/misconduct/definition_misconduct.shtml

Misconduct in Research or Scholarly Activity – Examples

- Attribution of authorship to persons other than those who have who have contributed sufficiently to take responsibility for for intellectual content
- Submitting for publication articles published elsewhere except except where clearly indicated to be a republication
- Failure to meet relevant legal requirements for protecting protecting researchers, human/animal subjects or the health health and safety of the public or for the welfare of laboratory laboratory animals
- Failure to disclose conflict of interests
- Financial misconduct involving research funds

Reporting Allegations of Misconduct

- Expected to report to Principal suspected cases of misconduct
- If unclear whether misconduct has occurred contact VPR to VPR to request referral to confidential advisor
- Allegations related to undergraduate or graduate students students will be reported to the appropriate Dean to determine if related to course work and the appropriate appropriate policy to follow

Reporting Allegations of Misconduct (cont)

- University will take measures to support individuals (and (and witnesses) who make allegations in good faith
- Retaliation against Queen's community members who who make allegations in good faith should be reported to reported to the VPR
- University will take action against those who make unfounded allegations that are malicious/vexatious/not in malicious/vexatious/not in good faith

Investigative Procedure

- Onus on University to establish misconduct with most cases delegated to VPR
- VPR must inform complainant (person lodging allegation) that allegation was received and will be investigated in accordance with the policy
- VPR shall inform respondent (subject of allegation), in writing, within 15 working days of receiving allegation and invite respondent to meet with VPR or submit materials or both
- Respondent must respond within 20 working days of notification

Investigative Procedure (cont)

- Based on response and evidence provided by respondent, respondent, VPR will determine and inform respondent and respondent and complainant in writing that:
 - a. sufficient evidence exists to indicate that misconduct misconduct may have occurred and a full investigation investigation is warranted
 - b. insufficient evidence to warrant proceeding with with investigation
- Full investigations delegated to Investigative Committee, Committee, appointed by VPR, respondent has opportunity opportunity to comment on membership re: conflicts of of interest

Investigative Procedure (cont)

- Investigative Committee will review allegation, the response and evidence and materials submitted, respondent will have access to all materials received from complainant
- Complainant and respondent will be invited to appear separately before Committee to be heard and provide evidence, Committee may call witnesses
- Detailed report of testimony of complainant and witnesses will be forwarded to respondent who has 10 days to respond to report

Investigative Procedure (cont)

- Committee will submit written report of investigation to VPR within 90 days of receipt of allegation and it normally decides on a finding by consensus
- Respondent and complainant provided copy of report to report to check for factual errors, must be submitted to VPR within 10 working days and will be forwarded to forwarded to Committee for consideration
- Finding of Committee is binding and respondent and complainant will receive copy of final report from VPR VPR within 10 working days of receipt of final report (to (to the extent permitted by the Privacy Act)

Appeal

- Grounds for appeal are unfairness in process or unreasonable finding
- If the respondent is a member of an association with a collective agreement, appeal procedures will be followed, followed, if a student follow *Queen's University Senate Policy on Student Appeals, Rights and Discipline*, if not a member with a collective agreement then file appeal to to Provost(VPA) within 15 working days of notification of finding and sanctions

Senate Policy on Integrity in Research



Reporting

- Findings of misconduct are forwarded to Principal and Administrative Head of respondent's unit
- If funded by outside agency or published or submitted for submitted for publication, VPR will inform funder or publishers within 30 days of inquiry/investigation and if and if outside funded access to funding is suspended until until instruction from the funding agency
- If misconduct is not supported University shall protect the protect the reputation and credibility of accused including including notifying agencies, publishers, etc. who are known to have been informed of allegation or investigation investigation

Privacy

- Steps taken to maintain confidentiality of process, records, records, findings until sanctions determined
- Records kept by VPR and protected according to *Freedom of Information and Protection of Privacy Act*
- If misconduct is not supported all documentation concerning the allegation will be removed from the respondent's file and destroyed

Possible Implications of Misconduct to ...



- **Respondents**
 - Reported to Principal/VP (Research), Department Head
 - Investigation (witnesses)
 - Discipline
 - Reporting externally
 - Funding/publications/reputation
- **Colleagues/students**
 - Funding/publications/progress
- **University**
 - Time and effort/reputation
- **Beyond the University...**
 - Erosion of public trust/participation in research

Education



- Policy should be referenced in letters of appointment for all new new research contract staff
- Policy to be introduced at the new faculty and new graduate graduate student orientation each year
- At least one general education session per year, open to all members of the Queen's community
- Future work to promote an understanding of the Policy to the the Queen's community

Conclusion



- Contribute to a culture of research integrity
 - Report
 - Mentor (students, staff, new colleagues)
 - Model
- Familiarize yourself with policies, internal and external
- Keep conflict of interest in mind; avoid or disclose
- Manage relationships effectively and work to prevent misconduct (e.g., be clear on expectations regarding publication at outset of research; effective communication with colleagues, students, etc.; maintain good records and lab books)
- VPR can provide support in instances when you have difficulties with colleagues, students, etc.

Research Integrity

Senate approved Policy available at:

<http://www.queensu.ca/secretariat/senate/policies/RsrchInteg.pdf>