

STATEMENT OF POLICY AND PROCEDURE			
Title:	Responsible Conduct of Research	Issued:	April 2018
Administrative Responsibility:	Tyndale Research Officer Tyndale University College & Seminary	Approving Body:	Senate
Audience:	Faculty, Staff, Students	Next Review :	Fall 2018

1. PURPOSE

Tyndale University College & Seminary (“Tyndale”) is committed to the highest standards of academic integrity in research and scholarship. This policy sets out principles and standards to promote and protect the quality, accuracy, and reliability of research and scholarly activities conducted at Tyndale and establishes a process for addressing allegations of research misconduct.

The objectives of this policy are guided by the **Tri-Agency Framework: Responsible Conduct of Research** (<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre>).

2. SCOPE

This policy provides principles and procedures for applying for and managing research grant funds, conducting research, disseminating results, and the process to follow in the event of an allegation of misconduct of research. This policy applies to all persons involved in research at the institution. It is the responsibility of each individual researcher to conduct their research with academic integrity and to forward concerns regarding possible acts of research misconduct. In the case of a breach of such integrity, the procedures in this document regarding misconduct of research shall be followed. Allegations of misconduct shall be dealt with in an impartial, equitable, and timely manner, with due regard to the privacy and confidentiality rights of all parties involved.

3. RESEARCHER RESPONSIBILITIES

All members of Tyndale engaged in research and scholarly activities are obliged to do so with utmost integrity in the search for and the dissemination of knowledge. In addition, researchers shall follow the requirements of applicable institutional policies and professional or disciplinary standards and shall comply with applicable laws and regulations. Tyndale holds all researchers responsible for conducting their research in strict observance of ethical standards and for:

- a) Using a high level of rigour in proposing and performing research; in recording, analysing, and interpreting data; and in reporting and publishing data and findings.
- b) Keeping complete and accurate records of data, methodologies and findings, including graphs and images, in accordance with the applicable funding agreement, institutional policies and/or laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of the work by others.

- c) Referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methodologies, findings, graphs and images.
- d) Including as authors, with their consent, all those and only those who 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 authorship policies of relevant publications.
- e) Acknowledging, in addition to authors, all contributors and contributions to research, including writers, funders, and sponsors.
- f) Providing true, complete and accurate information in funding applications and related documents and representing themselves, their research and their accomplishments in a manner consistent with the norms of the relevant field.
- g) Appropriately disclosing and managing any real, potential or perceived conflict of interest.
- h) Seeking and obtaining approval by the Tyndale Research Ethics Board before engaging in any research involving humans and then complying fully with the approved research protocols in the performance of the research.
- i) Complying with External Grant regulations as they relate to the operational and financial terms of research grants and/or contracts awarded to the researcher.
- j) Complying with Intellectual Property Policy and licensing agreements of Tyndale and the relevant funding agency as they pertain to the commercialization of research.

Misconduct in research or scholarship may be committed with varying degrees of intent. It is recognized that the line separating carelessness and negligence from intentional dishonesty may be very narrow. Any lapse of scholarly integrity is objectionable and, depending on its severity, is subject to a range of disciplinary measures up to and including dismissal or expulsion. Allegations of misconduct shall be dealt with in an impartial, equitable, fair and timely manner, with due regard to the privacy and confidentiality rights of all parties involved.

4. INSTITUTIONAL RESPONSIBILITIES

- a) To ensure that all researchers, faculty, staff and students are aware of, and have access to, this policy and all other requirements and standards of research set out by the institution.
- b) To disseminate this policy through the institution's website, information packages, and relevant meetings.
- c) To ensure that this policy, and all institutional policies dealing with research and scholarship, align with the expectations and policies on the responsible conduct of research as set by the Tri-Council Research Agencies.
- d) To investigate any potential misconduct in research in strict accordance to the procedures and process laid out in this policy.
- e) To ensure, in the event of an allegation of research misconduct, that all parties are advised of the procedures available to them.
- f) To keep accurate, confidential records of: all allegations of research misconduct, procedures and decisions taken to resolve such allegations, and the final resolution addressing such allegations.

- g) To ensure that all institutional financial risk management policies are upheld with respect to research grants, awards, external donations, and all other research funding.

5. DEFINITIONS

Misconduct in research refers to, but is not limited to, any breach of the present policy and includes:

- *Fabrication*: Making up data, source material, methodologies or findings, including graphs and images.
- *Falsification*: Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without acknowledgement, resulting in inaccurate findings or conclusions.
- *Destruction of research records*: The destruction of one's own or another's research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards.
- *Plagiarism*: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate reference to the original source and, if required, without permission.
- *Redundant publications*: The re-publication of one's own previously published work or substantive part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification for republication.
- *Invalid authorship*: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed substantially to the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.
- *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and with authorship policies of relevant publications.
- *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived conflict of interest.
- *Mismanagement of Research Funds*: Misappropriating grants and awards funds or providing inaccurate or false information on documentation for expenditures from research funds.

The *complainant* is the person making an allegation of misconduct in research; the complainant may or may not be directly affected by the alleged misconduct and may be an administrator.

The *respondent* is the person accused by the complainant of misconduct in research.

6. PROCEDURE FOR DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

6.1 Responsibility for Responding to Alleged Misconduct

Tyndale's designated Research Officer is responsible for receiving and responding to all allegations of misconduct in research. The Tyndale Research Officer may designate another

senior academic administrator to whom responsibilities under this policy are delegated. When the Tyndale Research Officer is a party to the alleged misconduct, then the President will assume the role of the Tyndale Research Officer under this policy.

6.2 Receiving Allegations of Misconduct

All allegations of misconduct in research and information relating to allegations of breaches of the present policy must be made responsibly to and received confidentially by the Tyndale Research Officer. A formal allegation of misconduct in research may be made by any member of the Tyndale community, or by any other person. For example, the allegation may be made by a member of faculty or staff, a Tyndale administrator, a granting source, a student, a member of the general public, a media report or an anonymous source. An allegation should normally be presented in writing and include all relevant evidence, appropriately documented, and be signed and dated. If an allegation is incomplete or otherwise improperly documented, the Tyndale Research Officer may contact the complainant and request additional information. If compelling evidence of misconduct is received anonymously, the Tyndale Research Officer will initiate the investigation process described below on the basis of this evidence.

6.3 Confidentiality

The matters pertaining to the allegations and investigation will remain confidential to those parties directly involved or investigating the circumstances. The privacy of the complainant(s) and respondent(s) will be protected as far as is possible. Any and all information and records relating to an action under this policy will be handled according to Tyndale's Privacy Policy.

6.4 Time Lines

Although timelines are defined below, circumstances may dictate exceptions which will be granted by the Tyndale Research Officer after consultation with the concerned parties. Allegations of misconduct in research should be made as soon as possible after an apparent misconduct has been identified.

6.5 Initial Response to an Allegation

- 6.5.1** Upon receiving an allegation, the Tyndale Research Officer will convene an ad hoc Misconduct Allegation Response Committee (MARC) composed of the Tyndale Research Officer, Chair of the Research Ethics Board, Academic Dean, and a faculty member of the Senate.
- 6.5.2** Taking into account the nature of the allegation, the MARC shall determine whether it is appropriate to resolve the matter through informal process or a formal investigation.
- 6.5.3** As justified by the nature of the allegation and the evidence submitted, the Tyndale Research Officer in consultation with MARC may take immediate action to protect the administration of research funds, such as instructing the Business Office to freeze research accounts.
- 6.5.4** If MARC determines the allegation to be serious (e.g. allegations of serious financial, health, safety, privacy or other risks) the granting agency will be notified immediately.
- 6.5.5** If MARC determines that the alleged misconduct may be resolvable through informal proceedings, then an informal meeting may be called. Any informal proceedings shall take place only if both the complainant and the respondent agree, and cannot be

required as a first step in dealing with an allegation of misconduct. Such informal proceedings will include appropriate provision for ensuring impartial, equitable, and fair processes. If the matter is not resolved by informal proceedings, or the complainant or respondent prefers not to engage in such proceedings, the allegation will be addressed through formal procedures.

- 6.5.6** During informal proceedings, with complainant(s), respondent(s), and his/her representative, any and all statements made will be without prejudice. Throughout the process, due process and full opportunity to respond to the allegations will be allowed.
- 6.5.7** Final resolution through informal proceedings shall require the approval of the MARC.
- 6.5.8** If the allegation is resolved without a formal investigation, the file can be closed. If the Tri-Council or other granting agency was involved, a follow-up letter will be sent within two months of receipt of the allegation.
- 6.5.9** If MARC determines a formal investigation is required, the respondent(s) and the complainant(s) will be informed in writing, normally within 14 days of the receipt of the allegation.

6.6 Formal Investigation Procedures

- 6.6.1** If the matter is not resolved under informal investigation, and/or if MARC determines formal proceedings are required, the Tyndale Research Officer will launch a formal investigation. The Tyndale Research Officer will advise the respondent of specific meeting times to discuss the allegations and documentation, and provide an opportunity to respond in writing.
- 6.6.2** The MARC will serve as the investigation committee. The procedures to be followed shall be guided by the principle of fairness, applicable to all parties. The respondent(s) and complainant(s) will have adequate opportunity to know any evidence presented by any party and to respond to that evidence if they so choose. The purpose of the investigation shall be fact-finding and formulation of a conclusion as to whether misconduct in research occurred and the responsibility, if any, of the respondent(s). The appropriate criterion for a decision is the presence of clear and convincing evidence.
- 6.6.3** The MARC shall communicate in its decision and recommendations in writing to the President within 15 days of completing its draft report. An extension of this time period may be granted by the Tyndale Research Officer if justified by the circumstances and the complexity of the investigation. The report of MARC shall include a written copy of the allegation, the written response of the respondent(s), if any, the findings and decisions of the MARC, and its recommendation for any action to be taken.
- 6.6.4** The MARC will make recommendations to the President. Recommendations may include but are not limited to:
 - a. dismissal of the allegation;
 - b. disciplinary actions against a respondent, such as a formal warning, letter of reprimand, probation, suspension, termination of employment, or expulsion (student);
 - c. if applicable, notification of editors/publishers in which the involved research was reported;
 - d. actions to protect or restore the reputation of the respondent, if wrongfully accused;
 - e. actions to protect a complainant found to have made a responsible accusation;

- f. sanctions against a complainant found to have made an irresponsible or malicious allegation.
- 6.6.5** In the event of a decision to terminate employment or expel a student, the appeal procedures of the Faculty Handbook and Student Handbook will be followed.
- 6.6.6** The Tyndale Research Officer will communicate the decision in writing to the complainant(s) and respondent(s).
- 6.6.7** At the conclusion of the proceedings, the Tyndale Research Officer will produce a final report. A copy of the final report will be sent confidentially to the complainant(s) and the respondent(s), containing: a summary of the specific allegation(s); the finding of the committee; the rationale for recommendations of the committee; the researcher's response to the allegation(s), investigation and findings of any measures the researcher has taken to rectify the breach of policy; the decision of the Tyndale Research Officer; the outcome of an appeal, if applicable; and the final outcome, including sanctions imposed and/or actions taken. The final report will be submitted to the President.
- 6.6.8** A report shall be forwarded to the appropriate funding agency by the Tyndale Research Officer within seven months of the receipt of the allegation (whether misconduct was determined or not). The report will include the process undertaken, the conclusions reached, and the actions undertaken if a breach was determined to have occurred.
- 6.6.9** Funding agencies may request additional information and may impose its own sanctions in relation to grants made to the researcher.
- 6.6.10** In cases of collaborative research involving other institutions, the Tyndale Research Officer may modify these procedures to facilitate the conduct of parallel or joint investigations or as otherwise deemed appropriate.

7 SANCTIONS AND OTHER MEASURES

All sanctions and measures taken as a result of the procedures described above must be proportional to the severity of the misconduct. If sanctions or actions are components of the decision contained in the final report, the sanctions or actions will be imposed or taken by the Tyndale Research Officer unless another person is designated to do so by existing Tyndale policies, employment policies, or by legislation. In such cases, the final report will be transmitted to the designated person as a recommendation for action.

8 APPEALS

- a) If a person affected by the misconduct or by the decision of the Tyndale Research Officer believes that the decision was reached improperly, an appeal or grievance as appropriate may be filed according to the published terms of the appeal or grievance procedures applicable to that person (e.g., Faculty Handbook, Student Handbook). If no such mechanism is available, an appeal may be filed within 15 working days of the receipt of the report, or, if appropriate, with the granting agency which funded the research, with respect to which an allegation of misconduct was made.
- b) In the event of an appeal to the President, the President shall constitute an ad hoc Appeals Committee consisting of three people. Each of the two parties to the appeal shall submit a list of three persons, and the President shall choose one person from each list for the Appeals

Committee. The President shall appoint a third person who will serve as Chair of the Appeals Committee. Before appointing the Chair, the President shall make reasonable effort to obtain the approval of the other two committee members with respect to the appointment.

- c) The Appeals Committee will review the entire file. The appeal shall be conducted and heard in private. The Appeals Committee shall resolve the appeal. The Appeals Committee has the authority to affirm, quash, or vary the decision under appeal including any sanctions imposed. The decision of the Appeals Committee is final and shall be sent in writing to the President, who will inform the respondent(s).

9 NOTIFICATIONS

In cases where the research misconduct involved activities funded in whole or in part by a granting agency, and where that misconduct may involve significant financial, health, safety, privacy, or other risks, the Tyndale Research Officer will immediately advise the relevant agency or secretariat for Responsible Conduct of Research of the allegations. In such cases, a copy of the final report will be transmitted to that agency, whether or not the allegation is dismissed, determined to have been unfounded, or if the granting agency is known to be aware, or is likely to be aware of the allegation. Tyndale will make every effort to protect or restore the reputation of those wrongly subjected to an allegation. When the investigation so determines, a report on the investigation of misconduct and its outcome will be disseminated to persons with a legitimate interest in knowing about them, such as the research subjects themselves or co-investigators. This report will normally contain no information that would identify the parties, unless this action is fully consistent with the final outcome of this case as described in the final report.

10 RELATED POLICIES AND PROCEDURES

Intellectual Property Policy
Policy on Academic Freedom
Tyndale Research Ethics Policy

Acknowledgement: Tyndale University College & Seminary acknowledges the policies on *Integrity in Research and Scholarship* of Trinity Western University and Redeemer University College in the formulation of this policy, as well *Tri-Agency Framework: Responsible Conduct of Research*.