

Manual Code	IRE.0811
Subject	Ensuring Research Integrity
Policy Section	Information – Research – Education
Policy Subsection	Research
Date	April 2018

## Policy or Goal Statement

The purpose of this policy is to promote and maintain the highest standards for integrity in research at Thames Valley Children's Centre (TVCC). The policy applies to all research staff, students, and any other staff members of TVCC who are involved in research at TVCC.

This policy:

1. sets out guidelines for the conduct of research and,
2. outlines procedures for resolving allegations of misconduct.

## Procedures:

### Commitment to Education:

All external and internal researchers, research advisory committee members, students, and all other staff of TVCC who are involved in research at TVCC will be made aware of the issues related to appropriate conduct of research. TVCC will inform these individuals of the guidelines and provide any additional information/education required for the guidelines to be properly understood and followed.

The primary responsibility for high standards of conduct in research lies with the researchers themselves. However, to ensure a consistent code of conduct, TVCC complies with the general principles and responsibilities outlined in the Tri-Council Policy on Integrity in Research and Scholarship.

As does the Tri-Council Policy on Integrity in Research and Scholarship, TVCC's Research Integrity Policy regards any action that is inconsistent with integrity as misconduct. However, honest error, conflicting data, or differences in interpretation of data do not constitute misconduct.

### Principles:

Integrity in research involves upholding the following principles:

- a. Academic Honesty, Respect for the Work of Others, Scholarly Competence, Responsible Supervision, Stewardship of Resources
- b. Appropriate Recording, Retention, and Sharing of Data
- c. Acknowledgement of Authorship
- d. Disclosure of Conflicts of Interest

## **Guidelines for the Conduct of Research:**

### **A. Academic Honesty, Respect for the Work of Others, Scholarly Competence, Responsible Supervision, Stewardship of Resources**

- Researchers are expected to maintain the highest standards of academic honesty. The work of others should be acknowledged appropriately. Permission should be obtained before using any unpublished or published source of information. Plagiarism, fabrication or falsification of evidence, misappropriation of another's work, use of material in violation of the Copyright Act, or any other intentionally misleading practices in research constitute serious misconduct.
- Researchers are expected to use scholarly and scientific rigour in gathering, recording, and analysing data, and in disseminating results.
- Principal researchers are responsible for: a) ensuring that all research is conducted according to the highest standards of integrity; b) providing collaborators, staff, and students with information to prevent misconduct; c) monitoring and overseeing the work of others; d) ensuring all relevant persons are provided with timely information about a research project; d) verifying the validity of data and research results when requested.
- Researchers are responsible for the appropriate use of funds, equipment, supplies, facilities, or other resources required to conduct research and/or obtained through grant awards. The use of all funds must be recorded and accounted for.

### **B. Appropriate Recording, Retention, and Sharing of Data**

- Accurate record keeping is essential. All data should be recorded clearly and correctly.
- Original data for a study should be retained in the primary study site in a secure, locked area for at least five years after the work is published and/or presented.
- Investigators and collaborators should have unrestricted access to data and any other products of their research.
- An agreement about ownership of data, software, and other products of research should be reached between investigators and collaborators, and between supervisors and students, before the research begins.

### **C. Acknowledgement of Authorship**

- Timing of Decisions
  - It is imperative for decisions about authorship to be made at the outset of a research study so that disagreements regarding a person's role in the project (and acknowledgement of such) do not arise.
- Contribution
  - Authorship is reserved for people who make a primary contribution to and hold primary responsibility for the data, concepts, and interpretation of results for a published work. Authorship includes not only those who do the writing but also those who have made substantial scientific contributions to a study.
  - Authors should be able and willing to defend any aspect of the paper in a public forum.
  - Authors are responsible for determining authorship sequence. The general rule is to list the name of the principal contributor first, with subsequent names in order of decreasing contribution.
  - The permission of joint authors or acknowledged persons must be obtained.
- Duplicate Publication

- An author must not submit work to be considered for publication that has been published in whole or in part elsewhere.
- The publication of an article as an abstract or as a research report does not necessarily preclude publication in a journal. However, any previous publication should be referenced in the manuscript, and the author must inform the journal editor of any similar manuscripts that have been published, accepted, or submitted for publication to the same journal or elsewhere.

### **Disclosure of Conflicts of Interest**

- A researcher must declare to his/her supervisor any actual or potential conflict of interest, financial or otherwise between him/herself, the sponsor/funder of research, or any other interested party.
- It is also necessary to inform interested parties, such as granting agencies, journals, or universities of any conflicts of interest that might impact applications for funding, review of manuscripts, or use of data.

## **Procedures for Resolving Allegations of Misconduct:**

### **Allegations**

- a. All allegations of misconduct in research at TVCC will be referred to the Director of Quality Management. If the allegation is about the Director it will be directed to the CEO. In that situation, the CEO will take on all responsibilities attributed to the Director in the following procedures.
- b. The Director will notify the person named in the allegation within two business days of receipt of the allegation.
- c. The Director will endeavour to clear up misunderstandings and to mediate disputes where possible. He/she will maintain the highest degree of confidentiality in order to protect the reputations and careers of all parties involved.
- d. Anonymous allegations are not accepted. If an individual has reasons for wanting to keep their identity concealed, they must still identify themselves to the Director, CCIR who will discuss and document their reasons. In exceptional circumstances, and in consultation with the CEO, the Director may keep the complainant's identity concealed.
- e. No person who makes an allegation or provides evidence in good faith will be subject to disciplinary action. However, a person who deliberately makes allegations or provides evidence in bad faith will be subject to disciplinary action.
- f. Within 5 business days of receipt of the allegation, the Director will judge whether the allegation should proceed as a formal investigation.
- g. If the Director judges that the allegation should not proceed, all parties will be notified immediately (i.e., within 5 business days of receipt of the allegation) that the matter is closed. All written documentation will be destroyed.
- h. If the Director judges that there needs to be a formal investigation, the following procedures will be followed.

### **Investigation**

- a. The Director will appoint a three person committee of appropriate experts or other relevant persons to assist with the investigation. The Director is a fourth person working with the committee on the investigation. The Director and committee members will have no real or apparent conflicts of interest. The committee and Director report to the CEO.

- b. The committee and Director will investigate the allegations within 30 working days of the initial receipt of the allegation by the Director, producing a written report within 10 working days of conclusion of the investigation.
- c. Throughout the investigation, the Director will proceed with due regard for justice and will ensure that both the complainant and respondent are made aware of evidence and given opportunity to comment and respond to the evidence.

### **Investigation Report**

- a. The written Investigation Report will be submitted by the committee and Director to the CEO of TVCC within 10 business days of conclusion of the investigation.
- b. The report will include:
  - Summary of evidence gathered.
  - Decision whether there was evidence of misconduct or not.
  - List of who the results of the investigation must be reported to. The Director is responsible for all follow-up reporting.
  - If there was misconduct, recommendations of disciplinary action to be taken. Disciplinary action may include warning, reprimand, or dismissal.
- c. Based on the recommendations of the investigation committee, the CEO decides about the disciplinary action to be taken.
- d. The Director notifies the complainant and respondent in writing of the decision within 2 business days of the submission of the report to the CEO. The respondent is notified in writing at this time of any disciplinary action to be taken.
- e. All documentation related to the investigation will be kept in a locked file in central records for 5 years.

### **Appeal**

- a. The respondent may appeal in writing to the CEO within 10 business days of being notified of the decision.
- b. The CEO will respond in writing within 10 business days of receipt of the appeal.

### **Reporting**

- a. At all times, TVCC will take reasonable precautions to protect the funds of any external granting agency involved. The Director is responsible for all reporting regarding allegations of misconduct.
- b. TVCC will follow all mandatory legislated reporting requirements, such as reporting incompetence of Regulated Health Professionals to their respective College.
- c. Where misconduct was found to have occurred, the Director will forward the Investigation Report within 30 working days of completion of the investigation to the Council(s) involved for all matters where the research is funded by the Council(s). S/he will also forward it at this time to any other funders and the Ethics committee that approved the project.
- d. In cases where it is the Council(s) which initiated a request for the investigation, the Director will be in contact with the Council(s) whose funds are involved during the investigation (as well as with the complainant who made the allegation to the Council) and will provide a comprehensive report of the investigation process and findings within 30 days of completion of the investigation.
- e. TVCC will follow relevant protocols and partnership agreements regarding reporting the incident to other organizations formally involved in the project.

- f. The Director will produce an annual summary report of internal complaints and will forward to the Council(s) a comprehensive annual report of those allegations that result in a misconduct finding which involved their funding. Annual reports will be submitted by June 30th for each fiscal year ending March 31st.

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**Cross References:**

IRE.0800: Privacy of Client Information in Research Studies

IRE.0802: Approval of Research Projects

IRE.0809: Ensuring Ethical Approval, Scientific Merit, & Relevance of Research Involving TVCC Clients & Families

**Revised / Supersedes:**

IRE.0811 September 2015

**Review:**

Annually

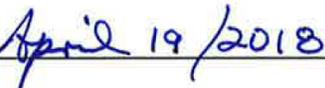
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Executive Office, Clinical Programs

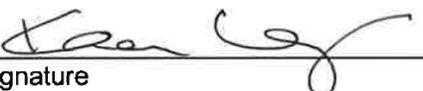
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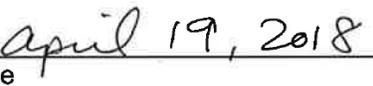
Chief Executive Officer

  
Signature

  
Date

Director of Quality Management

  
Signature

  
Date