

POLICY: Integrity and Ethical Conduct for Research and Scholarship Policy		POLICY NUMBER: AC-007-A2
		PREVIOUS/REPLACES: Updated March 16, 2022
APPROVED BY: Academic Council	EFFECTIVE DATE AS OF: April 1, 2022	PRIOR VERSIONS: November 1, 2021

1. Policy Statement

The purpose of the policy is to express and communicate the standards for the responsible conduct of research, defined here as “research integrity” for all those involved in any capacity in research at Herzing College.

The College considers research as a form of teaching and learning and is an essential component of the Herzing College learning experience. Research opportunities enhance student learning with a view to developing practical knowledge, skills and growth with integrity and accountability and provide professional development and growth for employees and. The research undertaken at Herzing College tends to be applied in nature. Applied Research is undertaken to find solutions to practical, real-world problems. Through a network of students, faculty members, staff and external collaborators, Herzing College employs technology and innovation to find practical solutions to facilitate knowledge transfer and processes or products of potential commercialization to add value to the communities it serves.

2. Scope

This policy applies to all Herzing College employees and students who conduct or who are involved in research. In addition to the primary or principal researcher, a network of individuals which may include students, employees, faculty members, and external professional affiliates of the College may be involved in research. The essence and elements of this policy will be integrated in research agreements where external collaborators are engaged in applied research projects with Herzing College.

Note: The formal resolution procedures in this policy will not be used if an allegation has been addressed using another Herzing College procedure including, but not limited to, Student Appeals Policy AM-002-A2, AC-009-A1 Student Discipline Policy

3. Policy Content

1. Herzing College Researchers

- a. Herzing College students, employees, faculty members, and external professional affiliates of the Herzing College are responsible for conducting their research according to high standards of research integrity. Herzing College researchers are also responsible for:

- i. Obtaining all the required Herzing College and respective agency approvals and training for research including, but not limited to, research involving human or animal subjects, fieldwork, biohazards, and environmental impact.
- ii. Ensuring that their research is conducted in accordance with these approved protocols and that they adhere to all reporting requirements.
- iii. Appropriately managing any real, potential or perceived conflict of interest, in accordance with the institution's policy on conflict of interest in research, in order to ensure that the objectives of the Framework (Section 1.3 Tri-Agency Framework – Responsible Conduct of Research: <https://rcr.ethics.gc.ca/eng/framework-cadre.html#a1-3>) are met.
- iv. 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.
- v. Ensuring students, interns and research staff are carefully supervised and trained in the conduct of research, including experiments, processing of acquired data, recording of data and other results, interpretation of results, making results public, and the storage of research records and materials.
- vi. Exercising rigor and integrity in obtaining and analyzing data, which includes being able to verify the authenticity of all data or other factual information generated in their research while ensuring that confidentiality is protected where required.
- vii. Protecting the privacy of any individuals whose personal information has been obtained as part of any research activities as required under applicable federal and provincial law.
- viii. Funds acquired for the support of research as required by the terms of research funding agreements and the Herzing College academic, financial, and human resource policies.
- ix. Referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methodologies, findings, graphs, and images, and ensuring, with their consent, that individuals who have made a substantive intellectual contribution to research being reported in a publication are included as an author. Specific requirements for authorship and acknowledgement will be determined by law and the ethical guidelines or procedures established by a researcher's discipline (i.e., set out by the journal(s) where publication is sought or by the leading journals in the researcher's discipline).
- x. Acknowledging where practicably possible, in addition to authors, all contributors and contributions to research, including writers, funders and sponsors.
- xi. Reporting conflicts of interest as per the Herzing College Academic Policies.

- xii. Reporting promptly all claims of intellectual property infringement or unauthorized use of intellectual property of which they become aware and disclosing this information to the relevant senior administrator – the senior administrator being the individual that the researcher reports to who holds a minimum position level in Herzing College such as the Academic Dean.
- xiii. Disclosing to the relevant senior administrator any research misconduct of which they have become aware whether or not it is specifically included within the policy.

2. Herzing College Officials

- a. The Herzing College Executive Committee is responsible for promoting applied research as a form of teaching and learning at the College and ensuring that applied research is conducted with the highest standards of research integrity. They are also responsible for:
 - i. Dealing expeditiously and fairly with any known instances or allegations of research misconduct.
 - ii. Encouraging activities that support research integrity among Herzing College Researchers.

3. Senior Administrators

- a. Under this policy, Academic Deans (when applied research is carried out by faculty members), Directors in charge of an administrative Unit (when applied research is carried out by employees), Vice Presidents (when applied research is carried out by Directors of an administrative department), and the President (when applied research is carried out by Vice Presidents), and the Board of Governors (when applied research is carried out by the President) will be responsible for any reports or instances of research misconduct.
- b. These individuals (or their designees) are responsible for:
 - i. Determining whether a formal investigation will occur.
 - ii. Directing and overseeing formal investigations, as outlined in Tri-Agency Framework Section 4.3 Policy Requirements for Addressing Allegations of Policy Breaches: <https://rcr.ethics.gc.ca/eng/framework-cadre.html#a4-3>
 - iii. Reporting the matter to the Secretariat for the Responsible Conduct of Research as set out in the Tri-Agency Framework Section 6.1.4: <https://rcr.ethics.gc.ca/eng/framework-cadre.html#a6>.

- 4. All Herzing College researchers have an ongoing obligation to maintain confidentiality respecting all intellectual property, whether it forms background intellectual property or is developed or conceived as part of research, because such disclosures can compromise the rights, applications and registrations associated with the intellectual property.

5. If it can be demonstrated that a Herzing College member knew, or reasonably ought to have known, that he or she has violated the Herzing College's research integrity policy, then the violation may be dealt with under the provisions of this policy. Lack of awareness of the policies, cultural differences, and/or impairment by alcohol or drugs are not a defense for research misconduct.

4. Administration

The Vice President of Academics will oversee the administration and enforcement of this policy.

5. Review

This policy will be reviewed as required by the Academic Council in 2027.

6. Reference

- Tri-Agency Framework: Responsible Conduct of Research (2016):
<https://rcr.ethics.gc.ca/eng/framework-cadre.html>
- AM-005-A2 Student Discipline Policy.docx
- Herzing College Faculty Manual

7. Definitions

Research Misconduct – Definitions of research misconduct include, but are not limited to:

- The intentional fabrication or falsification of data, erroneously reporting research procedures, or data analysis; the use of someone else's data or ideas and claiming it as one's own; plagiarism; or other deceitful acts or improprieties in proposing, conducting, reporting, or reviewing research.
- Failure to comply with pertinent federal, provincial, or international stipulations for the protection of human or animal subjects, the public, or failure to meet other legal requirements that relate to the conduct of research.
- Failure to conduct research in the manner in which it has been approved by Herzing College's Research Ethics Board.
- Failure to disclose any conflict of interests when asked to undertake reviews of research grant applications or to test products for sale or distribution to the public.
- Failure to disclose conflict of interests prior to any commitment or expenditure of research funds and failure to notify their respective unit head should a conflict arise at a later point.
- Failure to disclose to the College any financial interest in a company that contracts with Herzing College to undertake research, particularly research involving the company's products, or to provide research-related materials or services. Financial interest means ownership, direct or indirect beneficial interest,

substantial stock holdings, a directorship, honoraria, or consulting fees, but does not include minor stock holding (less than \$10,000) in publicly traded corporations.

- Misuse of funds acquired for the support of research.
- Failure to comply with terms of research funding agreements.

The definitions of misconduct in research should not be interpreted as including differences of opinion regarding research methodologies, analyses of data, and theoretical frameworks.

Research Ethics Board – An ad hoc committee composed of members from the Academic Council charged with oversight of research activities taking place under the direction of Herzing College faculty members or staff.