

Title: Integrity in Research and Scholarship
Category:
Policy No.: B3004
Replaces: New
Applicability: All Employees, Students, and other Individuals, either paid or volunteer, involved in Research or Scholarly Activity at or through Langara College
Effective Date: July 21, 2011
Source(s):

Approved: _____
President

Preamble

Langara College actively supports and promotes the maintenance of the highest ethical standards in research and scholarship. The College undertakes activities to promote and uphold integrity in research and scholarship.

Langara College expects all those involved in the research enterprise (e.g. researchers, students, technical assistants, administrators, etc.) to adhere to the principles articulated in this policy.

Purpose

The purpose of this policy is to establish principles and guidelines that identify and promote the highest standards of ethics and integrity in research and scholarship affiliated with the College. This policy also designates responsibility for maintaining these standards, and specifies processes for addressing allegations of, and a timely response to, misconduct related to ethics and integrity in research.

1. Principles

- 1.1 The College expects that all research and scholarly activities involving the College will be conducted with the highest level of integrity and ethics.
- 1.2 The researcher holds the primary responsibility for maintaining a high level of integrity and ethics while conducting research.
- 1.3 Misconduct while undertaking research is unacceptable and may be cause for disciplinary action or sanctions.

2. Appropriate Conduct

Appropriate and mandatory conduct in research includes, but is not limited to, the following:

- 2.1 Obtaining, recording, analyzing, storing, reporting, and publishing data or results using scholarly and scientific rigor and integrity;
- 2.2 Recognizing the substantive contributions of all collaborators (including students); using unpublished work of other researchers and scholars only with permission and with due acknowledgement and using archival materials in accordance with the rules of the archival source;
- 2.3 Ensuring the authorship of published work includes all those who have materially contributed to, and share responsibility for the concepts of the publication, and only those persons.
- 2.4 Obtaining the permissions of the author 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.
- 2.5 Seeking and obtaining approval by the Langara College Review Ethics Board (LC-REB) before engaging in any research involving humans (unless exempted by the Langara College Policy B5007: Ethical Conduct for Research Involving Humans), and then complying fully with the approved research protocols in the performance of the research.
- 2.6 Any research involving biohazards, ionizing radiation, or any research involving animals will not be conducted at the Collage.
- 2.7 Complying with the College regarding the operational and financial terms of research grants and/or contracts awarded to the researcher.
- 2.8 Disclosing as early as possible in writing to the Vice-President Academic or delegate nay material financial interest in a company that contracts with the College to undertake research, particularly research involving the company's products. Material financial interest includes ownership, substantial stock holding, directorship, significant honoraria or consulting fees, but does not include minor stock holdings in a large publicly traded company (as outlined in Policy B3005: Conflict of Interest Related to Research);
- 2.9 Disclosing as early as possible in writing to the sponsors of the research project, this and other institutions, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decision on whether the individual should be asked to review manuscripts or applications, test products or be permitted to undertake work sponsored from outside sources; and
- 2.10 Disclosing to the Langara College Research Ethics Board (LC-REB) any conflicts of interest in research involving humans, including any material financial interest in a company that contracts with the College to undertake research, particularly research involving the company's products. (See 2.8 above.) Such disclosure will be made in the application to the LC-REB for ethical review.

3. Rules and Responsibilities

3.1 Responsibility of the College

- a. The College is responsible for promoting integrity in research. The college will engage in educational activities including workshops in support of research and research practices and will post related documents and processes on the intranet. New faculty will be made aware of research and other policies as part of their orientation. Updates and changes will be announced through our electronic newsletter and be available on the College's website.
- b. The College is responsible for investigating and responding in a timely manner to allegations of misconduct in research, including informing the appropriate funding council(s) of conclusions reached and actions taken.
- c. The College is responsible for creating and maintaining an active Langara College Review Ethics Board, as per Policy B5007: Ethical Conduct for Research Involving Humans.

3.2 Responsibilities of the Researcher

The researcher is responsible for maintaining high standards of conduct in research. The College holds researchers responsible for ensuring that they maintaining the appropriate level of integrity and ethics while conducting research under this policy, and that they meet the standards for conducting research, some of which are noted in this policy.

3.3 Authorship

- a. Authorship implies significant intellectual contributions to the work which, when recognized, must include all those and only those people who have materially contributed to and share responsibility for content.
- b. Students will be given the appropriate recognition for authorship or collection of data in any publication.

3.4 Research Data

- a. Research data is conducted and data is acquired in different manners. In the case of collaboration work, all members of the research team are responsible for ensuring proper acknowledgement of each team member when the data are released in any form.
- b. A complete set of all original research data must be retained by the principal researcher for a period of 5 years following the completion of the research, or as required by law whichever is longer. All collaborators must have free access to the relevant data at all times and authorization to copy may not be withheld by any team member without valid reason.

4. Procedures

4.1 Allegations

4.1.1 An allegation of Scholarly Misconduct may come from various sources inside or outside Langara College. For example, the allegation may come from a member of the faculty or staff, a College administrator, or granting source, a student, a member of the general public, a media report or an anonymous source. The ability of the College to investigate an allegation may be hampered if it is from an anonymous or uncooperative source, and investigations are always subject to principles of natural justice.

4.2 Response to Allegation

4.2.1 Upon receipt and review of an allegation, the Vice-President Academic may do any or all of the following:

- request that the allegation be made in writing;
- request additional information regarding the allegation;
- inquire into the allegation further;
- request that the relevant unit of the College review the matter, or some aspect of the matter, and report to the Vice-President Academic; or
- appoint an individual(s) to review the matter, or some aspect of the matter, and report to the Vice-President Academic.

4.2.2 Prior to making a decision pursuant to Section 3.1 b., the Vice-President Academic may do any or all of the following:

- dismiss the allegation;
- inform the person(s) named in the allegation in writing of the allegation and appoint an Investigative Committee to perform a formal investigation of the allegation, if in the judgment of the Vice-President Academic the allegation has sufficient substance to warrant an investigation; or
- take such other action as the Vice-President Academic deems appropriate.

4.3 Formal Investigation of Allegations

a. Within ten (10) working days of deciding to hold a formal investigation the Vice-President Academic will:

- i. Provide the respondent with relevant documentation related to the allegation(s); and
- ii. Establish a committee of three independent persons, with relevant experience in the area of research involved in the particular case, to

conduct an investigation. Where possible, members of the respondent's department/school will not be part of the committee. Persons external to the College may be appointed at the discretion of the Vice-President Academic.

- b. The College will protect the privacy of the person(s) accused and of the person(s) making the allegations as far as is possible given the need for due process in conducting the investigation.
- c. In all proceedings and subsequent to a final decision, the College will undertake to assure that those making an allegation in good faith and without demonstrably malicious intent are protected from reprisals or harassment. False allegations made purposefully will lead to discipline by the College for the individual making the allegation.
- d. To protect agency funding, if deemed necessary, the Vice-President Academic may withhold research funds until matters of misconduct are resolved.
- e. Within ten (10) working days of its receipt of the allegation, the Committee will meet with the complainant and respondent(s) and discuss the nature of the allegation(s) and the circumstances surrounding it. Additional interviews may be held and documentation reviewed depending on the circumstances.
- f. Complainants as well as respondents will be given an opportunity to give their version of the facts to the investigating committee, and both will be available to ensure a timely resolution to the complainant.
- g. The Committee will report its findings and recommendations to the Vice-President Academic only, within 30 days of being established. The Committee's decision regarding misconduct is final and binding on the College.

The report will include:

- a. A copy of the allegation;
- b. Membership of the Investigative Committee;
- c. Investigative methods, including documentation of the investigative process;
- d. Individuals interviewed or supplying information;
- e. Documents reviewed;
- f. Legal advice, if sought;
- g. Additional information such as the respondent's written response to the complaint, verbal information gathered from interviews.'
- h. The findings for each of the allegations along with supporting rationale; and
- i. Other relevant details.

If upon reviewing the report the Vice-President Academic believes the complaint is without foundation, the Vice-President Academic will dismiss the complaint and immediately advise the complainant and the respondent with a

written response outlining the reasons for this decision. Based on the findings the Vice-President Academic may require the complainant, or others, to take action to protect or restore the reputation or credibility of a wrongly accused researcher, including procedures to ensure that if the complaint has been dismissed then copies of documents and related files provided to third parties will be destroyed. A copy of the report may be forwarded to the funding agency within 30 days of receipt.

If the Vice-President Academic determines a breach to the integrity of the research, or that the researcher has acted unethically, the Vice-President Academic will determine any actions or sanctions to be taken and will communicate these in writing to the respondent and to others as may be appropriate given the circumstances. Such information will be imparted to the funding agencies as soon as possible, but not later than 30 days following receipt of the Committee's report. Any related collective agreement issues or appeals open to the respondent through the collective agreement will be noted in the communiqué to the respondent and to the funding agency.

4.4 Possible Actions arising from Formal Investigations

The Vice-President Academic will determine actions to be taken which may include, but are not limited to:

- Sanctions against the respondent
- Actions to protect or restore the reputation of the respondent
- Actions to protect a complainant
- Sanctions against a complainant

In the case of students, sanctions are defined in *Policy F1004 – Academic Conduct*.

4.5 Privacy and Confidentiality

- a. The privacy of both the complainant and the respondent will be protected as far as is possible given the need for due process in pursuing an inquiry and reporting the findings. In the case of a researcher being wrongly accused, all documents or files provided to a third party will be destroyed at the conclusion of the investigation.
- b. The Office of the Vice-President Academic will be responsible for keeping and controlling appropriate access to records. Such records will be kept in accordance with the College's *Records and Information Management Policy (B5010)* and *Access to Information Policy (B5001)*.
- c. If the investigation is at the request of the funding agency, all findings and actions taken will be reported to the funding agency (within 30 Days).

DEFINITIONS

1. **Researcher** means, for the purposes of this policy, an Employee, Student, or other Individual, either paid or volunteer, involved in Research or Scholarly Activity at or through Langara College..
2. **Complainant** means the person making an allegation of misconduct related to integrity or ethics in research. The complainant may or may not be directly affected by the alleged misconduct. The complainant has a right to representation.
3. **Respondent** means the researcher accused by the complainant of misconduct related to integrity or ethics of research. The respondent has a right to representation.
4. **Research and Scholarly Activity** is an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation. Scholarly activity includes research, the dissemination of new knowledge through such means as publications, presentations, and exhibitions, and the application of new knowledge in professional practice and student learning. Scholarly activity also includes creative activities designed to further artistic endeavour.
5. **Natural Justice** is comprised of two main principles:
 - The decision maker is impartial; and
 - The respondent is provided with a fair hearing (i.e. the respondent is informed of the allegation made against him or her; is provided with an opportunity to respond to the allegation and has the right to be represented.

Related Policies

B3003: Code of Conduct

B3005: Conflict of Interest Related to Research

B5001: Access to Information Policy

B5007: Ethical Conduct for Research Involving Humans

B5010: Records and Information Management

F1004: Academic Conduct