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<b>Title:</b>	<b>Integrity in Research and Scholarships Policy</b>
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<b>Responsibility:</b>	Applied Research Centre
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## 1. Introduction<sup>1</sup>

The document is based on the understanding that scholarly activity includes research, theory development, teaching, and learning, and the production, performance, presentation or publication of scholarly papers, works of art, or other forms of expression. It assumes the development and maintenance of a culture of equity in the College, a culture where the standard operating procedures are rooted in principles of fairness and justice. It does not replace other means of determining fairness, such as student appeals, employee grievances, or any existing collective agreements. Instead, this Policy complements these and other Centennial College policies and procedures, including those governing the ethics of research with human subjects, animals, biohazards, radioactive substances, occupational health and safety, and student conduct. The general public has a legitimate interest in the maintenance of standards of scholarly conduct at an Academic Institution. Therefore, Centennial College is responsible for maintaining such standards in a way that is open to scrutiny. The College is responsible for promoting a clear understanding of the issues involved in maintaining the highest standards in research, teaching, learning, and other aspects of scholarship. The College is also responsible for providing an environment that encourages recognition of ethical standards. Centennial College must respond appropriately to allegations of misconduct involving its administrators, personnel, or students. Finally, the College is accountable for assessing and reviewing policies and practices to ensure that the highest ethical standards are maintained over time. Therefore, Centennial College faculty members, administrators, employees, and students are directly responsible for ensuring that the standards listed in this document are observed.

## 2. Principles

The pursuit of excellence in all forms of scholarship, teaching, and research occurs in the context of the following principles:

### 2.1 Accountability

Individuals involved in research and scholarship at Centennial College are to familiarize themselves with the principles and responsibilities outlined in this document, and are held accountable for their behaviour in carrying out these activities. The College provides mechanisms to assist and support members of the College Community in their endeavours to exercise a high level of integrity in research and scholarship.

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<sup>1</sup> This policy was primarily adapted from the Laurentian University Policy on Integrity in Research and Scholarship with the University's permission.

## 2.2 Social Responsibility

Individuals involved in research and scholarship at Centennial College are responsible to the community and the society in which they work and live. They are to consider, as much as possible, the broader effects of their scholarly activities, and take steps to minimize any negative social and environmental outcomes that may arise from their work.

## 2.3 Respect for Dignity of Persons

Individuals involved in research and scholarship at Centennial College are to accord appropriate respect to the fundamental rights, dignity, and worth of all people. They are to respect the rights of individuals to privacy, self-determination, and autonomy. They are to be sensitive to individual differences including those related to age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, and socioeconomic status.

## 3. Standards

The primary responsibility for high standards of conduct in research, teaching, learning, publishing and other areas of scholarship rests with the individuals carrying out these activities, including administrators, faculty, students, and support staff. Therefore, Centennial College holds them responsible for upholding the standards listed below.

### 3.1 Permission and Acknowledgement when using Information

The work of other researchers and scholars, including their expression of ideas, whether obtained formally or informally shall be used only with due acknowledgement, and only with formal permission unless publicly available. Archival material shall be used only in accordance with the rules of the archival source (See Data Gathering and Retention, p. 9). Also, information obtained as a result of the peer review process must be treated as confidential by the reviewer.

### 3.2 Quality Assurance

Faculty, students, and support staff are to exhibit honesty, accuracy, and scholarly rigour that meet the standards of the discipline involved in obtaining, recording, and analyzing data, and in reporting and publishing results. They are to keep original data accessible for a reasonable period (usually five years) after study completion and publication (See Data Gathering and Retention, p.4).

### 3.3 Conflicts of Interest

Researchers and scholars must reveal to potential or committed sponsors, including this or other colleges, journals, or funding agencies, any financial or other conflict of interest that might influence the decisions of sponsors about whether the individual should review manuscripts or applications, test products, or undertake work available through those sponsors.

### 3.4 Financial and Research Accountability

Research funds must be used for the purpose for which they were given, and in accordance with Centennial College policies and guidelines governing the use of and

record-keeping for such funds. College and other policies on research involving human subjects, animal care, biohazards, and radioactive substances, etc. must be followed.

### 3.5 Protection of Third Parties

Researchers must ensure that third parties (those who are affected by research but do not fall within the traditional definition of "research subjects") are protected from undue exposure to physical or psychological risk (including loss of confidentiality or privacy), using the same standards for weighing risks and benefits as are used for human subjects of research. Researchers should identify potential third parties and should describe research procedures which will be implemented to ensure protection of those parties.

### 3.6 Power Imbalances

Faculty, students, and support staff must recognize and ensure the protection from coercion of individuals with less power (such as research subjects, third parties, students, junior or untenured faculty, staff and technicians) participating in research, teaching, learning, publication, or other scholarly activity.

### 3.7 Teaching and Learning

Recognizing the academic freedom of both teachers and students, we also recognize that whatever is taught or asserted in the teaching and learning environment as an established truth or fact, by either teacher or student, should be derived from scholarly investigation and appropriately analyzed empirical information, including that from experimentation, reviews of scholarly literature, interviews, lived experience, or participant observation. In teaching and learning settings, faculty, staff and students have a mutual obligation for respectful recognition of individuals or groups, including those who have been historically marginalized. All those present share responsibility for acting with mutual respect, and for contributing to a climate of inclusion. Persons in authority should redress rather than perpetuate inequities.

### 3.8 Data Gathering and Retention

#### Responsibilities of Researchers

The College recognizes the importance of sharing original data with the research community. It also recognizes the importance of retaining original data to respond to inquiries.

3.8.1 Original data should be preserved in a suitable format for a period of at least five years from the end of the research project.

3.8.2 Data should be stored in such a manner as to safeguard confidentiality as required by College policies, ethics policies, and relevant privacy acts.

3.8.3 Data shall not be destroyed while researchers, colleagues, readers of published results, or College officials may raise questions answerable only by reference to the data.

3.8.4 Data shall be used only for the purposes they were originally collected for.

- 3.8.5 Principal investigators and all co-researchers must have free access to all original data and products of the research at all times, subject to any limitations imposed by the terms of grants, contracts, or other arrangements for the conduct of the research.
- 3.8.6 Entitlement to ownership of the original data and the products of research shall be clearly identified in a research agreement that shall be entered into by all researchers and the College.
- 3.8.7 The research agreement shall be in accord with the College's policy on Intellectual Property, Ownership and Authorship of records, data, and products of research.<sup>2</sup>

#### **4. Definition of Misconduct in Research and Scholarship**

- 4.1 Academic Dishonesty is defined as but not limited to:
  - 4.1.1 All cases of fabrication or falsification of research results.
  - 4.1.2 Plagiarism, or forgery of documents including academic credentials.
  - 4.1.3 Failure to appropriately recognize the substantive contributions of students, co-researchers, or other collaborators.
  - 4.1.4 Use of the unpublished works of other researchers and scholars without permission.
  - 4.1.5 Use of 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 without permission.
  - 4.1.6 Failure to use scholarly and scientific rigour and integrity in obtaining, recording, and analyzing data, and in reporting and publishing results.
  - 4.1.7 Use of archival material in violation of the Copyright Act.
- 4.2 Misuse of Research Funds is defined as but not limited to:
  - 4.2.1 Failure to use research funds in strict accordance with the terms and conditions of grants and contracts.
  - 4.2.2 Failure to follow College financial directives and practices.
  - 4.2.3 Failing to disclose a financial or personal interest in any transaction chargeable to a research grant or contract.
  - 4.2.4 Failing to inform the College of a substantial change in research activities or use of research funds.

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<sup>2</sup> Integrity in Research and Scholarship, Algonquin College Directive, Directive No. H2, pp. 2, 3.

4.2.5 Use of research resources, facilities or equipment in a manner that is inconsistent with approved research practices.

4.3 Conflict of Interest is defined as but not limited to:

4.3.1 Failure to disclose existing, potential or apparent personal, financial or business interests of the researcher, the researcher's associates or the researcher's family in relationship to research grants and contract.

4.3.2 Failure to comply with the College policy on conflict of interest.

4.3.3 Failure to reveal to sponsors, research institutions, journals, funding agencies or contractors, any material conflict of interest, financial or other, that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products, or be permitted to undertake work sponsored from outside sources.<sup>3</sup>

## 5. Rationale for Implementing these Principles and Standards

Centennial College actively encourages the application of these standards to teaching, research, and other forms of scholarship, recognizing that:

- 5.1 Individuals must understand clearly what constitutes ethically-based behaviour in a College environment;
- 5.2 Simply displaying ethical guidelines does not mean that the College Community will take them seriously;
- 5.3 Individuals are not always aware that their behaviour is an infringement of guidelines, or cognizant of the potential ramifications of their actions;
- 5.4 Individual interests and perspectives may influence how ethical guidelines are interpreted;
- 5.5 An institutional culture which emphasizes the value of competition may encourage some members of the College Community to place productivity above issues of integrity. A College culture must be founded on ethical principles and responsibilities. Given these underlying assumptions, Centennial College accepts its responsibility to establish mechanisms to:
  - 5.6 Inform all individuals associated with research and other forms of scholarly activity about policy, standards, and procedures available to address problems of integrity;
  - 5.7 Establish a process to facilitate the resolution of queries or misunderstandings involving no apparent violation of the Integrity Policy;
  - 5.8 Establish a process for identifying infractions when they occur;
  - 5.9 Specify and implement sanctions where appropriate;
  - 5.10 Ensure protection of students and others from reprisal;

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<sup>3</sup> Integrity in Research and Scholarship, Algonquin College Directive, Directive No. H2, pp. 1, 2.

5.11 Review and when necessary revise these policies and procedures.

## **6. Dissemination of this Policy**

Information on this Policy and its implementation procedures must be made available to the College Community, and also to those outside the College. Those who will be most heavily involved in providing information about the Policy, and in implementing it (Academic Administrators, especially Deans and the staff in their offices), must understand and be committed to its implementation.

### **6.1 Material on Integrity in College Web Site**

Appropriate information about the Policy on Integrity in Research and Scholarship should be incorporated into the Centennial College Web Site. The Policy will also form part of the Guidelines for the Preparation and Administration of Research Grants and Contracts, published by the Applied Research Centre.

### **6.2 Workshops to Members of the College Community**

The Applied Research Centre will develop and deliver workshops about issues and problem-solving involving integrity to:

Academic and other administrators who will be involved in the process of advising and performing the tasks related to implementation of the Policy; Faculty and support staff; Undergraduate students.

### **6.3 Student Associations and Faculty, Staff and other Employee Associations**

The Student and Employee Associations and Unions play a vital role in the dissemination of information about the Policy. They will in some cases serve as the first source of advice for those who are considering approaching a Dean. As such, knowledge and commitment to the Policy on the part of associations and their representatives are very important. Information from these sources will complement the printed text available in their handbooks and elsewhere.

### **6.4 Dissemination Outside the Centennial College Community**

Persons outside the College Community also need to have access to information about this Policy. They may have questions about the Policy, disputes with the College or persons from the College Community, or allegations about the conduct of persons from the College Community. For those who are involved as subjects of research, the consent form they sign should inform them about how to contact the Applied Research Centre. Personnel at the College Switchboard should also be informed about how to direct callers to sources of information on the Policy.

### **6.5 Educational Materials Development**

Written materials, slides, or videos should be developed or collected, based on sources from ethics committees of various disciplines such as the Educational Psychological Association, Canadian Research Institute for the Advancement of Women, or the Canadian Nurses' Association.

### **6.6 Conferences on Integrity Issues**

Conferences in which papers and case studies about integrity issues are presented, from the perspective of community groups, agencies, business, industry, educational institutions, health institutions and the College, should be promoted.

#### 6.7 Scholarly Publication Related to Integrity Issues

Publication of papers in professional and scholarly journals about integrity issues should also be encouraged.

### 7. Procedures for Responding to Inquiries Related to Integrity

The College will attempt to protect the reputation of all those involved, as well as the reputation of the College at all stages of any inquiry related to integrity. When an inquiry is finished, if allegations of misconduct have been substantiated, appropriate officials or research funding sources will be notified. At that time, it may also be appropriate to publicize the findings. For official procedures on the implementation of this Policy please refer to the document AC803-07 Procedures for Responding to Inquiries Related to Integrity.

### 8. Review and Revision

Experience with procedures and policies may indicate the need for revision and refinement. Therefore, administrative procedures should be established to facilitate review and revision.

Annually, the Director of Applied Research, or another authority appointed by the Board of Governors to oversee Integrity in Research and Scholarship, will report to the Board of Governors on the following:

- 8.1 number of queries/disputes/allegations handled at both informal and formal levels;
- 8.2 the nature and number of cases in which there has been a finding of misconduct;
- 8.3 type of sanctions employed;
- 8.4 the educational activities carried out to promote integrity in research and scholarship;
- 8.5 number of attendees at educational activities;
- 8.6 nature and number of requests for information regarding integrity issues from within and outside the College;
- 8.7 whether assessors or negotiators are external or internal to the College.

This information will help the College to evaluate and revise the Policy and enhance integrity in research and scholarship activities.

### 9. Cross Reference to Other Existing Policies and Regulations

- Research Ethics Policy
- Policy on Research Ethics Involving Humans
- Policy on Research Involving Animals, Biohazard Agents, or Radioactive Materials
- Confidentiality Agreement
- Intellectual Property Ownership and Authorship Policy

## 10. References

- 10.1 Policy on Integrity in Research and Scholarship, Laurentian University  
[http://www.laurentian.ca/GRAD\\_STUDY/RESEARCH/policye.html](http://www.laurentian.ca/GRAD_STUDY/RESEARCH/policye.html)
- 10.2 Algonquin College Directive, Integrity in Research and Scholarship, H2.