

INTEGRITY IN RESEARCH AND SCHOLARSHIP POLICY

This document is the parent policy for any college or Divisional procedures. Questions regarding this policy are to be directed to the identified Policy Administrator.

Functional Category:	Academic
Approval Date:	14 June 2017
Effective Date:	14 June 2017
Policy Owner:	Vice President, Teaching and Learning
Policy Administrator:	Senior Manager, Academic Research and Development

Objective:

To strengthen the role of NorQuest College (college) as a comprehensive community institution, a leader in workforce preparation, and an exemplar in social and industry innovation, the college expects its faculty, staff, students, and community partners to cultivate and maintain the highest standards of research and scholarship integrity.

The college recognizes that in order to gain the most benefit from its research and innovation activities and to promote a positive research environment, researchers must be held fully accountable for honest inquiry, rigorous analysis, and commitment to the productive dissemination of results toward improving knowledge throughout business, industry, and the community locally, nationally, and internationally.

The college expects its faculty, staff, and students to adhere to the college Codes of Conduct and perform research and scholarly work in accordance with the federal *Tri-Agency Framework: Responsible Conduct of Research*, at minimum.

The principles of research integrity apply to all facets of research, including the appropriate use of research funding, recognition of conflicts of interest, respect for intellectual property, the use of culturally appropriate research methodologies, and the need for community consultation, as well as the protection of the safety, welfare, and the social, cultural, political, and economic rights of research participants, their communities, and other research partners.

The college also recognizes its role in preventing and effectively dealing with issues of misconduct in the carrying out and dissemination of research, and with protecting the privacy of individuals making allegations of misconduct.

Authority to establish this policy is derived from the [NorQuest College Board of Governor's Policy No. 5](#), which delegates authority to the President and CEO to establish policies and procedures for the college's management and operation.

Policy:

Research and Scholarly Integrity

NorQuest College (college) is committed to the highest standards of integrity in research and scholarship, beginning with three fundamental principles:

- **Truthfulness** in describing the manner in which research is conducted and data are collected, analyzed, and reported;
- **Scrupulousness** in recognizing the authors and sources of the original research concepts and results; and
- **Probity** in the use of research funds.

The college expects its researchers to fully understand and apply these principles. The college holds accountable its faculty, staff, students, and external partners to its codes of conduct, and expects that they perform research, innovation activities, and scholarly work with the highest ethical and scientific standards of academic integrity. Maintaining integrity requires careful supervision of research and innovation activities, including those conducted by students; informed and transparent use of methods; adherence to ethical standards of the discipline; and refusal to engage in or condone instances of misconduct.

The college supports the responsibilities of researchers in promoting research and scholarly integrity. These responsibilities require that the researcher undertake:

- **Honest and irreproachable professional conduct** with colleagues and coworkers in the scholarly community, with faculty, students, and staff involved in research and innovation projects, and in dealings with project and funding collaborators within and outside the education community. Abuse of supervisory power affecting coworkers, students, and others associated with research and innovation projects is considered misconduct.
- **Due regard for the ethical considerations** involved in the use of human participants and animal subjects in research. Ethical considerations in the use of human participants are outlined in the college's *Ethical Conduct for Research Involving Human Participants* Policy, and researchers who breach conditions under that policy are, under the present policy, held responsible for research misconduct. Clinical trials and research involving animals must be reviewed by the Research Ethics Boards (REB) of partnering organizations, in addition to being approved by the college's own REB. Failure to have projects reviewed by all necessary REBs will be considered misconduct.
- **Honest and accurate reporting** to the college and associated jurisdictions of any involvement in research dealing with human participants, bio-hazardous materials, or animals.
- **Compliant and transparent use of funds** acquired for research and innovation activities, and adherence to terms and conditions of grants and contracts.
- **Methodologically rigorous, discipline-recognized, and culturally appropriate approaches to research** proposals and to carrying out research activities, including collecting, recording, analyzing, and interpreting data, and reporting and publishing findings. Fabrication of data, sources (including partner collaboration), methodologies, or findings are considered misconduct.
- **Maintenance of complete and accurate data records, methodologies, and findings** in accordance with funding and partner agreements, institutional policies, government legislation, and professional/discipline standards in a manner that will allow others to verify and/or replicate the research if required. Willful misrepresentation or misinterpretation (manipulation or falsification) of data, methodology, or findings, as well as destruction or concealment of research data in order to circumvent funding policy, Research Ethics Boards' requirements, college Code of Conduct, contract agreements, legislation, or professional standards are considered misconduct.
- **Accurate referencing of previous published and unpublished work**, and acquiring permission for and acknowledging the use and/or adaptation of such work (data,

methodologies, findings, graphs, images), including traditional knowledge. Researchers will be held to the highest standards with respect to fair use and intellectual property, and plagiarism of any kind is considered a breach of this policy.

- **Recognition of the relevant contributions of others**, including scholars, research assistants, or students. Researchers are expected to give authorial recognition to those who have made a substantive contribution to the research and its publication, in a manner consistent with their contributions and with publisher authorship guidelines. Inaccurate attribution of authorship (including listing as authors those who made no substantive contribution) is considered a breach of this policy.
- **Acknowledgement of all relevant contributors to research** (writers, funders, sponsors, and collaborators). Failure to recognize contributors or the inaccurate representation of the nature of their contributions are considered misconduct.
- **Fair reviewing** of research grant applications and/or research work submitted for peer review in consideration for publication or funding by another scholar. Suppression of the work of another scholar is considered misconduct under this policy.
- **Due diligence with respect to existing or potential conflicts of interest**. Full disclosure of any real, potential, or perceived conflicts of interest is expected, and failure to manage real, potential, or perceived conflicts of interest is considered misconduct.

Research and Scholarly Misconduct

The college regards any action that is inconsistent with integrity as misconduct. The college accepts its responsibility to investigate all allegations of misconduct in research, innovation, and scholarship and to impose discipline where warranted. Allegations of misconduct shall be dealt with in a fair, unbiased, and timely manner.

Misconduct does not include honest errors, differences in opinion, or different interpretations of research findings. Those involved in judging research and scholarly misconduct must bear in mind the ethical sensitivities of the period and discipline in which the original research was conducted: although a researcher may have conscientiously followed the standards of the period and discipline, protocols previously in use may not necessarily accord with current data usage standards or the standards of other disciplines.

Researchers, research assistants, students, partners, and other faculty and staff who identify any circumstances which they believe involve a breach of the college *Integrity in Research and Scholarship* policy or procedure have an obligation to report it to the Manager of Research and the Vice President of Teaching and Learning.

The college adheres to the principle of confidentiality that protects the privacy of complainants and respondents in allegations of misconduct. In accordance with the college's *Safe Disclosure Policy*, the college further shields from reprisals—any response by the college that adversely affects the employment or other status of the complainant—any individuals who report suspected misconduct.

The college will investigate potential instances of misconduct in research or scholarship; may impose appropriate sanctions in accordance with college policy; and may inform the appropriate Council(s) or funding agency of the actions taken to address the misconduct. In the event that

	the research is connected to Tri-Council funding, the college will comply with Tri-Council policies and procedures regarding the reporting of misconduct. Investigations into allegations of student misconduct will be conducted by the Office of Student Judicial Affairs. All other investigations will be conducted by a committee that is struck following the reporting of academic misconduct. The committee will consist of:
Definitions:	<ul style="list-style-type: none"> • The Manager, Research; • The Dean, Academic Research & Development; • The immediate supervisor of the individual reported to have engaged in academic misconduct; and • His or her Dean. <p>In cases of severe academic misconduct where dismissal from the college may result, the committee will also include:</p> <ul style="list-style-type: none"> • The Vice-President External Affairs & Corporate Counsel; • A representative from Human Resources; and • The Vice-President, Teaching & Learning and Chief Academic Officer <p>Disciplinary actions for misconduct may range from the issue of a warning to dismissal from the college (faculty and staff) or expulsion (students). Misconduct may further be subject to investigation and response by the funding agency and/or legal authorities.</p> <p>Conflict of interest: "A conflict of interest may arise when activities or situations place an individual in a real, potential or perceived conflict between the duties or responsibilities related to research, and personal, institutional or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates."¹</p> <p>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 referencing and, if required, without permission."²</p>
Related Information:	<ul style="list-style-type: none"> • Code of Conduct Policy • Ethical Conduct for Research Involving Human Participants Policy • Freedom of Information and Protection of Privacy (FOIP) Act Policy • Intellectual Property Policy (to be developed) • Safe Disclosure Policy • Tri-Agency Framework: Responsible Conduct of Research
Related Procedures:	<ul style="list-style-type: none"> • Integrity in Research and Scholarship Procedure • Safe Disclosure Procedure
Next Review Date:	December 2020
Revision History:	<p>January 2013: New</p> <p>August 2013: Update for document links and branding</p> <p>November 2014: update for change in policy administrator and document links</p> <p>June 2017: Updated</p> <p>February 2019: Update to document links and policy/procedure title changes</p>

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Definitions:

Conflict of interest: "A conflict of interest may arise when activities or situations place an individual in a real, potential or perceived conflict between the duties or responsibilities related to research, and personal, institutional or other interests. These interests include, but are not limited to, business, commercial or financial interests pertaining to the individual, their family members, friends, or their former, current or prospective professional associates."¹

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 referencing and, if required, without permission."²

Related Information:

- [Code of Conduct Policy](#)
- [Ethical Conduct for Research Involving Human Participants Policy](#)
- [Freedom of Information and Protection of Privacy \(FOIP\) Act Policy](#)
- [Intellectual Property Policy \(to be developed\)](#)
- [Safe Disclosure Policy](#)
- [Tri-Agency Framework: Responsible Conduct of Research](#)

Related Procedures:

- [Integrity in Research and Scholarship Procedure](#)
- [Safe Disclosure Procedure](#)

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² Tri-Agency Framework: Responsible Conduct of Research