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## 5.1.1 INTEGRITY IN RESEARCH + SCHOLARSHIP PROCEDURES

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**Please note:** This document forms part of a set of research related procedures that guide research activity at Emily Carr University of Art + Design (University).

### ENABLING POLICY

5.1 Ethics in Research

### PROCEDURE INTENT

These procedures are intended to promote and advance a high standard of ethics and integrity in research and scholarship affiliated with the University. As well, these procedures will identify responsibilities for maintaining these standards and will address allegations and timely response to misconduct related to integrity of research and scholarship.

### SCOPE

These procedures apply to all University researchers engaged in research activities including any University employee, any student enrolled in the University and/or partaking in research or anyone else engaged in research at the University in any capacity, whatsoever.

#### A. GUIDING PRINCIPLES

The University expects that all research and scholarly activities involving the University will be conducted with the highest standard of integrity in research and scholarship. Any action that is inconsistent with integrity in research will be regarded as misconduct, will not be condoned and may be cause for disciplinary action.

#### B. APPROPRIATE CONDUCT IN INTEGRITY IN RESEARCH AND SCHOLARSHIP

Integrity in research and scholarship includes principles noted below to be interpreted with the understanding that research can involve honest error, conflicting data or valid differences in experimental design or in interpretation or judgment of information.

#### Responsibilities of Researcher

The primary responsibility for high standards of conduct in research and scholarship rests with the individuals carrying out these activities, namely the principal researchers. All researchers are to maintain high standards of conduct in research. The University holds researchers responsible to ensure that they

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maintain a high standard of integrity and ethics while conducting research. The University expects a high standard of appropriate behaviour in research by the research community including honesty, respect for others, scholarly competence and stewardship of resources

As noted in the Guiding Principles above, any action that is inconsistent with the following principles for integrity in research will be regarded as misconduct, will not be condoned and may be cause for disciplinary action.

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

1. Recognizing the substantive contributions of all collaborators (including students and research assistants); using unpublished work of other researchers and scholars only with permission and with the due acknowledgement; and using archival material in accordance with the rules of the archival source;
2. Obtaining the permission 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;
3. Obtaining, recording, analyzing, storing, reporting, and publishing data or results using scholarly and scientific rigour and integrity and without fabricating or falsifying;
4. Ensuring that authorship of published work includes all those who have materially contributed to, and share responsibility for, the contents of the publication, and only those persons;
5. Revealing as early as possible in writing to the sponsors, 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 application, test products or be permitted to undertake work sponsored from outside sources.
6. Seeking and obtaining approval by the Research Ethics Board (REB) *before* engaging in any research involving human subjects and then complying fully with the approved research protocols in the performance of the research;
7. Seeking and obtaining approval by the appropriate committee or authority before engaging in any research involving biohazards or ionizing radiation, or any research involving animals, and then complying fully with the approved research protocols in the performance of the research; (currently the University does not undertake these forms of research. Should this change, the appropriate agencies will be notified and appropriate standards developed.);
8. Seeking and obtaining approval by the appropriate University authority before engaging in any research;
9. Complying with University regarding the operational and financial terms of research grants and/or contracts awarded to the researcher.

## **C. RESPONSIBILITIES OF EMILY CARR UNIVERSITY**

The University is responsible for the ongoing promotion of integrity in research and for investigating allegations of misconduct involving researchers.

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1. The University will promote integrity in research. To this end, the University will conduct workshops periodically on standards related to integrity in research and scholarship. The University will make available to all employees, students and potential researchers relevant documents and processes related to research, including this procedure on Integrity in Research and Scholarship. Updates and changes will be announced electronically and will be available on the University website.
  2. The University is responsible for investigating and responding to, in a timely manner, allegations of breaches of integrity in research. This will include informing the appropriate funding council(s) of conclusions reached and actions taken. The University will also respond to alleged breaches identified by funding agencies. (See section F on Investigating and responding to Alleged Breaches to Integrity in Research and Scholarship.)

#### **D. AUTHORSHIP STANDARDS & PUBLICATION**

To ensure the publication of accurate scholarly reports, each author must verify and take responsibility for the part of the publication for which he/she has contributed. One author will be designated as the main author of the document, normally the principal researcher. Other authors must have made a substantial material contribution (other than a financial contribution) to be named as an author. In other words, authorship implies significant intellectual contribution to the work which, when recognized, must include all those who have materially contributed to and share responsibility for content.

Students and research assistants will be given the appropriate recognition for authorship or collection of data in any publication.

#### **E. COLLECTION AND RETENTION OF DATA**

A complete set of all original research data must be retained by the principal researcher for a period of five (5) years from the date of publication of results based on the data. 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. In no instance should primary data be destroyed while investigators, colleagues or readers of published results may raise questions requiring reference to original data.

Entitlement to ownership, reproduction and publication of primary data, software and other products of research will vary according to the circumstances under which the research was conducted. The University Intellectual Property policy will govern these issues.

Issues of confidentiality will arise in some areas of research and these will be addressed by the department or research unit involved. In some instances a non-disclosure agreement will be required to keep information confidential. The University Intellectual Property policy will govern these issues. In any instance where confidentiality is violated by a University employee or student, appropriate action will be taken.

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## **F. INVESTIGATING AND RESPONDING TO ALLEGED BREACHES OF INTEGRITY IN RESEARCH AND SCHOLARSHIP**

A breach of integrity while undertaking research is unacceptable and may be cause for disciplinary action that will be in line with any collective agreements or terms of employment as negotiated from time to time.

### **1. Informal Inquiry into Potential Misconduct**

- (a) Anyone who believes there has been a breach of these procedures may seek clarification, informally through the Office of the Vice President, Research. Anyone receiving a complaint is required to channel the complaint to the Office of the VP.
- (b) Such inquiries shall be kept confidential and may result in no action or a shift to a formal investigation. The VP, Research will review the allegations and documentation related to the potential misconduct to determine whether a shift to formal investigation is required. If the VP, Research dismisses the complaint and the complainant wishes to pursue further, the complainant must initiate a formal complaint.

### **2. Formal Investigation of Complaints**

- (a) A formal complaint must be made in writing to the VP, Research and may be at the request of the funding agency. Anonymous allegations will not be entertained. Within ten (10) days of receiving the complaint, the VP, Research will establish an Investigating Committee of three independent persons, with relevant experience or expertise in the area of research involved in the particular case, to conduct an investigation. No member of the department, or others involved in the research will be part of the committee. Persons external to the University may be appointed at the discretion of the VP, Research.
- (b) In all proceedings and subsequent to a final decision, the University 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 of the person making the allegation, by the University.
- (c) To ensure protection of agency funding, if deemed necessary, the VP, Research may withhold research funds until matters of misconduct are resolved.
- (d) Within ten (10) working days of receipt of the complaint, the Investigating Committee will meet with the complainant and respondent and discuss the nature of the complaint and the circumstances surrounding it. Additional interviews may be required to complete the investigation. All interviews will be documented and become part of the official record.
- (e) All documentation pertinent to the investigation will be sought and obtained and included as part of the official record
- (f) The Respondent has the right to know the allegations against him/her and will be and has the right to answer the allegations either orally, in writing or both and will be afforded these rights. The BC "*Freedom of Information and Protection of Privacy Act*" will govern the release of any information.
- (g) The Committee will address the allegations made and determine if they have merit and in doing so will act fairly and conduct its proceedings in a manner consistent with the principles of natural justice.

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- (h) The complainant and respondent will be given an opportunity to comment on the facts outlined in the draft report before the report is made final.
- (i) The Investigating Committee will report its findings and recommendations to the VP, Research only, within 60 days of being established. The committee's decision regarding misconduct is final and binding on the University. The report will include:
- i. a summary of the allegations;
  - ii. composition of the Investigating Committee and explanation of selection process;
  - iii. investigative methods;
  - iv. persons interviewed or supplying information;
  - v. proposed plan to restore reputations and protect complainants that have acted in good faith;
  - vi. details on recommended sanctions; and
  - vii. other relevant details.
- (j) If the committee **determines the complaint is without foundation**, the VP, Research will act on the findings of the Committee and 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 VP, Research may require the complainant, and/or others to take action to protect or restore the reputation or credibility of a wrongly accused researcher. A copy of the report will be forwarded to the funding agency within thirty (30) days of receipt.
- (k) If the committee **finds there is misconduct**, the VP, Research 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.
- (l) A person subject to disciplinary action, who believes that the decision was reached improperly or if he/she disagrees with that decision or with the sanctions, may file an appeal or grievance as appropriate in accordance with the relevant collective agreement or employment contract. In the case of students appeals will be handled under the University policies related to Student Conduct and Appeals.
- (m) The privacy of both the complainant, the respondent and other persons, including witnesses involved in the investigation will be protected as far as is possible given the need for due process in pursuing an enquiry and reporting on the findings. In the case of a researcher being wrongly accused, all documents or files provided to the Investigating Committee will be destroyed at the conclusion of the investigation.
- (n) The VP, Research will be responsible for keeping and controlling appropriate access to records in accordance with relevant privacy legislation. Records will be kept for seven (7) years.
- (o) 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. Regardless of where the investigation was initiated, if misconduct has been found to have occurred in research funded by one or more of the Agencies, the University will provide the agencies with a copy of the report; and a statement on how agency funding has been ( as noted in section F.2.c above) or will be protected.