

## INTEGRITY IN RESEARCH AND SCHOLARSHIP POLICY

### Policy Statement

Bow Valley College (BVC) is committed to the highest standards of integrity in research and scholarship; therefore, it is the expectation of BVC that employees, research personnel and learners conduct research and scholarly activities in accordance with the highest ethical and scientific standards of academic integrity. To ensure these high standards are adhered to, BVC requires careful supervision of research and scholarship activities. Supervision involves ensuring the competent use of methods, adherence to ethical standards of the discipline, and that fraud and/or misconduct are not engaged in or condoned.

### Purpose

This policy promotes and advances a high standard of integrity in research and scholarship at BVC.

### Scope

This policy applies to all members of the BVC community who conduct research at BVC and/or who conduct research with BVC employees, research personnel, or learners. This policy also extends to external individuals or groups who conduct research at BVC or with BVC employees, research personnel or learners. This policy is intended to provide direction in the establishment of practices for the maintenance of high standards of integrity in research and scholarship and minimize the occurrences of misconduct.

### Principal Objectives

1. **Fundamental Principles.** BVC employees, research personnel, and learners who are engaged in research at BVC will adhere to the following three (3) principles
  - 1.1. Truthfulness in describing collection methods, analysis, and reporting;
  - 1.2. Scrupulousness in recognizing the authors and sources of the original research concepts and results; and
  - 1.3. Probity in the use of research funds. Research funds are used responsibly and in accordance with funding agreements.
2. **Promoting Integrity in Research.** Integrity in research and scholarship will be fostered by developing awareness among all involved of the need for the highest standards of integrity, accountability and responsibility.
3. **Collection and Retention of, and Access to, Research Data.**
  - 3.1. Scholarly and scientific rigor and integrity will be expected when obtaining, recording, and analyzing data, and when reporting and publishing results.
  - 3.2. Investigators, supervisors, learners, and BVC should come to a common understanding regarding storage, access to data and any other relevant concerns and circumstances, before undertaking research. In the case of collaborative work, all members of the research team must have access to the relevant data at all times, subject to contractual obligations or other agreements regarding access to data.
  - 3.3. Records of data, methodologies, findings, graphs and images will be kept complete and accurate in accordance with applicable funding agreements; institutional policies, procedures and guidelines; regulations; and professional or disciplinary standards and maintained in a manner that will allow for verification or replication of research by others.
4. **Authorship and Recognition**

- 4.1. Authorship of published work will include all who have made a significant intellectual and practical contribution and share responsibility for the contents of the publication, and only those people. Learners and research personnel will be given appropriate recognition or authorship for the collection of data in any publication. Other individuals who have made a significant contribution will be recognized in acknowledgements.
- 4.2. Investigators, supervisors, learners and BVC should come to a common understanding regarding ownership, authorship, intellectual property rights, and the reproduction and publication of data of the research, before undertaking research.
- 4.3. Unpublished work of other researchers and scholars is only used with permission and due acknowledgment. This includes obtaining permission for confidential information, data, and concepts found as a result of the following: personal communication, peer review processes, archival sources, and funding applications.
5. **Conflict of Interest.** Potential or perceived conflict of interest (as defined by The Tri-Agency Framework: Responsible Conduct of Research) will be appropriately dealt with in accordance with BVC's policy dealing with conflict of interest.
6. **Responding to Allegations of Misconduct in Research and Scholarship**
  - 6.1. BVC will respond to allegations of misconduct in a timely manner following the identified process.
  - 6.2. BVC will engage in mechanisms consistent with due process and natural justice.

## Compliance

Employees, contractors, and learners are responsible for knowing, understanding, and complying with Bow Valley College policies, procedures, and any other attached documentation that relate to their position, employment, or enrolment at the College.

## Definitions

*Author* (including co-author): The writer, or contributing writer, of a research publication or document (<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>).

*Authorship*: The National Research Council Canada (NRC) provides this guide in determining authorship ([http://www.nrc-cnrc.gc.ca/eng/about/policies/research\\_integrity/index.html](http://www.nrc-cnrc.gc.ca/eng/about/policies/research_integrity/index.html))

NRC research publications shall identify as authors all those, but only those, who have made a substantial intellectual contribution to the research. The other contributions should be recognized separately in the manuscript.

As a minimum requirement, recognizing that there might be variations in accepted practice between disciplines, fields of activity and research journals, the NRC recommends that inclusion as an author should be justified by direct participation in at least two of the following activities:

- conception of the research project
- performance of the research
- interpretation of the data, and
- writing of the manuscript.

*Bow Valley College Employee*: Refers to any individual employed by BVC (i.e., exempt, faculty [under the BVC Faculty Association], and staff [under the Alberta Union of Provincial Employees]).

*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 (<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>).

*Research:* An undertaking which involves a systematic investigation to establish facts, principles, or generalizable knowledge. Most activities that involve information collected solely in the course of teaching or other usual college functions such as quality assurance studies, performance reviews, instructor evaluations, program evaluations or reviews, curriculum development projects, or testing within normal educational requirements are NOT considered research for the purposes of this policy.

*Research Personnel:* includes undergraduate and graduate students, post-doctoral fellows, research assistants, research associates, technicians, programmers, analysts, etc., who may contribute to the research activities of a grant holder.

*Research and scholarly integrity:* To uphold the values of honesty and uprightness in research and scholarly endeavors among colleagues, co-workers, learners and research personnel on research projects with due respect to intellectual property and ethical conduct in research involving humans and animal participants. These values extend to dealings with research and funding collaborators both within and outside the education community.

*Research and scholarly misconduct:* Includes, but is not limited to, the areas listed below. This list includes what Tri-Agency labels as *Breaches of Agency Policies* (Section 3.1 of the Tri-Agency Framework: Responsible Conduct of Research). Items denoted with Tri-Agency at the end indicate that the definition comes from the Tri-Agency Framework: Responsible Conduct of Research (<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>).

1. *Fabrication:* Making up data, source material, methodologies or findings, including graphs and images (Tri-Agency).
2. *Falsification:* Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions (Tri-Agency).
3. *Destruction of research records:* The destruction of one's own or another's research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards (Tri-Agency).
4. *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 (Tri-Agency).
5. *Redundant publications:* The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification (Tri-Agency).
6. *Invalid authorship:* Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution (Tri-Agency).

7. *Inadequate acknowledgement*: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications (Tri-Agency).
8. *Mismanagement of Conflict of Interest*: Failure to appropriately manage any real, potential or perceived conflict of interest, in accordance with the Institution's policy on conflict of interest in research, preventing one or more of the objectives of the Framework (Section 1.3) from being met (Tri-Agency).
9. Failure to honor the confidentiality that the researcher promised or was contracted to as a way to gain valuable information from a party internal or external to BVC.
10. Retaliation of any kind against persons, acting in good faith, which have reported or provided information about suspected or alleged misconduct. Retaliation means any response by BVC that adversely affects the employment or other status of the originator(s) of the allegation.
11. Failure to report to BVC an involvement in research dealing with human subjects, bio-hazardous materials or animals.
12. Material failure to comply with relevant statutes, regulations or policies concerning the conduct of research.
13. Abuse of supervisory power affecting coworkers, learners and others associated with the research.
14. Financial misconduct, including misuse of funds acquired for research and failure to adhere to terms and conditions of grants and contracts.
15. Suppressing publication of the work of another scholar and improper negative reviewing of a research grant application or work submitted for peer review in consideration for publication by another scholar.

Misconduct does not include honest errors, differences in opinion or different interpretations of scientific discoveries. Those involved in judging research and scholarly misconduct must bear in mind the ethical sensitivities of the period in which the research was conducted. Although a researcher may have conscientiously followed the standards of the period, protocols previously in use may not necessarily accord with current standards on the use of data.

*Researcher*: Anyone who engages in research activities.

*Scholarly activity*: Includes all research or other creative activity undertaken by BVC employees or learners.

*Scholarship*: A serious formal study or research of a subject.

## Data Sheet

### Accountable Officer

The Vice-President, Academic and Chief Learning Officer is responsible for the policy oversight and compliance.

### Responsible Officer

The position responsible for the content development and implementation of the policy is the Director, Academic Innovation & Applied Research. This officer would be considered policy owner for purposes of operationalizing the policy. Questions regarding this policy should be addressed to the Responsible Officer.

### Approval

See “Development Framework” for approvers of policy, procedures, and guidelines.

### Contact Area

Applied Research & Evaluation Lead.

### Relevant Dates

<b>Approved</b>	January 26, 2017
<b>Effective</b>	January 26, 2017
<b>Next Review</b>	January 2022
<b>Modification History</b>	April 2010, October 2011, January 2017

### Associated Policy(ies)

Employee Code of Conduct (#200-1-1)  
 Ethical Business Practices (#200-1-5)  
 Records Management (#200-1-8)  
 Learner Code of Conduct (#500-1-1)  
 Academic Honesty (#500-1-7)  
 Ethical Conduct for Research involving Human Participants (#500-3-2)

### Directly Related Procedure(s)

Integrity in Research & Scholarship Procedure

### Directly Related Guideline(s) (if any)

Integrity in Research & Scholarship Procedure  
 Records Retention and Disposal Guidelines (200-1-8)

### Related Legislation

Tri-Agency Framework: Responsible Conduct of Research (2011)  
[\(http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/\)](http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/)  
 Tri-Council Policy Statement: Ethical Conduct of Research involving Human Participants (2014)  
[\(http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/\)](http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/)