Red Deer Polytechnic

Integrity in Research, Scholarly Activity, and Scholarship Policy	
Category: Administrative	**Approval Date:** May 25, 2022
Policy Owner: Vice President Academic and Provost	**Effective Date:** July 1, 2022
Policy Administrator: Associate Vice President, Teaching, Learning, and Research	**Review Period:** 5 Years
Recommended by: Deans' Council	
Associated Documents Breach of Research Integrity Procedure	

PURPOSE

The purpose of this policy is to promote and advance a high standard of integrity in research, scholarly activity, and scholarship. Such integrity requires careful supervision of research, including that conducted by students, competent use of methods, adherence to ethical standards of a discipline, consideration of equity, diversity, inclusivity and Indigenous research principles and methodologies, and the refusal to engage in or condone fraud or misconduct.

SCOPE

This policy forms part of Red Deer Polytechnic's scholarship plan and governs all research, scholarly activity, and scholarship undertaken by members of the Polytechnic community, including but not limited to, all faculty, staff, students, visitors, volunteers, third-party contractors and guests, either alone or in collaboration with other post-secondary institutions, business, industry, and not-for-profit sectors and local communities.

POLICY

1. All research, scholarly activity, and scholarship conducted at Red Deer Polytechnic or by a member of the Polytechnic community is done in accordance with the *Tri-Agency Framework for Responsible Conduct in Research (2021)* as well as all other Tri-Council policies, any applicable laws, disciplinary ethics and professional standards.

2. The Polytechnic is committed to three fundamental principles underlying research and scholarly integrity:

    a. truthfulness in describing the manner in which data is collected, analyzed and reported;

b. scrupulousness in recognizing the authors and sources of the original research concepts and results; and

c. probity in the use of research funds.

3. Integrity in research, scholarly activity and scholarship encompasses all aspects of the research enterprise. The Polytechnic requires:

a. honesty and uprightness in dealings among colleagues and co-workers within the research and scholarly establishment as well as with students, assistants, and staff on research projects, and in dealings with research and funding collaborators both within and outside the education community;

b. respect for intellectual property;

c. due regard for the ethical points involved in the use of human and animal participants in research, including the use of culturally appropriate research methodologies and, where appropriate, community consultation;

d. honest and accurate reporting and record keeping;

e. appropriate and transparent use of funds;

f. accurate referencing and acknowledgement of authorship;

g. management and disclosure of any conflicts of interest; and

h. honesty in application and review processes, including only applying for funding or acting as a reviewer when eligible according to the funder's criteria and ensuring that others listed on applications have agreed to be included.

4. The primary responsibility for high standards of conduct in research, scholarly activity and scholarship rests with the individuals carrying out these activities. This responsibility includes, at a minimum, responsibility for rigour, record keeping, accurate referencing, authorship, acknowledgement, and conflict of interest management in any project, and proactive action if a breach of policy is discovered. Researchers with oversight roles are responsible for the appropriate supervision and training of all members of their research team.

5. Misconduct includes, but is not limited to:

a. fabrication, falsification, and/or destruction of research records;

b. plagiarism, including redundant publications or self-plagiarism;

c. inaccurate attribution of authorship and/or inadequate acknowledgement of contributions;

d. mismanagement of conflicts of interest in research;

e. misrepresentation in a grant application or related document;

f. mismanagement of grants or award funds;

g. breach of policy requirements, including Tri-Agency policies and review processes; and

h. failure to disclose to the immediate supervisor and the Associate Vice President, Teaching, Learning and Research any conflicts of interest related to research.

6. Per the Employee Code of Conduct, "Employees have a fundamental obligation to act in the best interests of the Polytechnic and not let outside activities interfere with that obligation. All employees of RDP are required to make their duties and responsibilities at

the Polytechnic their prime obligation to the extent stated their employment letter and to conduct any outside activity without encroachment upon or conflict with those responsibilities". Any potential conflicts of commitment related to research must be disclosed to the immediate supervisor and the Associate Vice President, Teaching, Learning and Research, who will assess such disclosures in alignment with the procedures set out in the Employee Code of Conduct.

7. The Polytechnic takes allegations of misconduct very seriously and is responsible for investigating same. In cases where allegations are proven, the Polytechnic will:

    a. impose appropriate sanctions in accordance with Polytechnic policy; and

    b. inform the appropriate Council(s) or funding agency of conclusions reached and actions taken.

8. As laid out in the Breach of Research Integrity Procedure, the Polytechnic shall engage mechanisms consistent with natural justice and procedural fairness, including:

    a. the respondent shall have the opportunity to respond to allegations;

    b. a complainant shall have the opportunity to comment on the findings of the inquiry and the investigation;

    c. the results of the investigation are communicated to all parties;

    d. the respondent is informed of any actions or sanctions imposed as a result of the investigation;

    e. the results are reported to the federal granting Agencies according to Tri-Agency policy guidelines;

    f. the Polytechnic will comply with the Alberta *Freedom of Information and Protection of Privacy Act* and all relevant Polytechnic policies as regards information and records related to an investigation under this policy.

RELATED POLICIES
Employee Code of Conduct
Student Academic Integrity and Academic Misconduct
Intellectual Property
Research Involving Humans
Research and Teaching Involving Animals
Support for Research, Scholarly Activity and Scholarship
Student Intellectual Property

DEFINITIONS
(Definitions in this policy are taken verbatim from or based on those in the *Tri-Agency Framework for the Responsible Conduct of Research* (2021).)

Accurate referencing: referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including theories, concepts, data, source material, methodologies, findings, graphs and images.

Acknowledgement: acknowledging appropriately all those and only those who have contributed to research, including funders and sponsors.

Authorship: including as authors, with their consent, all those and only those who have made a substantial contribution to, and who accept responsibility for, the contents of the publication or document. The substantial contribution may be conceptual or material.

Breach of policy requirements: a failure to meet funder or institutional policy requirements, or to comply with the relevant policies, laws, or regulations for the research activity; failure to obtain appropriate approvals, permits, or certifications before conducting research activity.

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.

Conflict of interest management: appropriately identifying and addressing any real, potential, or perceived conflict of interest in order to ensure that the objectives of the RCR Framework (Article 1.3) are met.

Destruction of research data or records: the destruction of one's own or another's research data or records or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards. This also includes the destruction of data or records to avoid the detection of wrongdoing.

Fabrication: making up data, source material, methodologies or findings, including graphs and images.

Falsification: manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without appropriate acknowledgement, such that the research record is not accurately represented.

Inadequate acknowledgement: failure to appropriately recognize contributors.

Invalid authorship: inaccurate attribution of authorship, including attribution of authorship to persons other than those who have made a substantial contribution to, and who accept responsibility for, the contents, of a publication or document.

Mismanagement of conflict of interest: failure to appropriately identify and address any real, potential or perceived conflict of interest, preventing one or more of the objectives of the RCR Framework (Article 1.3) from being met.

Mismanagement of grants or award funds: using grant or award funds for purposes inconsistent with the policies of the funding body; misappropriating grants and award funds; contravening financial policies of the funding body; or providing incomplete, inaccurate, or false information on documentation for expenditures from grant or award accounts.

Misrepresentation in a grant application or related document: providing incomplete, inaccurate or false information in a grant or award application or related document, such as a letter of support or a progress report; applying for and/or holding a Tri-Council Agency award when deemed ineligible by NSERC, SSHRC, CIHR or any other research or research funding organization world-wide for reasons of breach of responsible conduct of research policies such as ethics, integrity, or financial management policies; listing of co-applicants, collaborators or partners without their agreement.

OCAP® Principles: standing for ownership, control, access, and possession, OCAP® asserts that Indigenous peoples have control over data collection processes in their communities and they own and control how this information can be used (First Nations Information Governance Centre, 2017).

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.

Record keeping: keeping complete and accurate records of data, methodologies and findings, including graphs and images, in accordance with the applicable funding agreement, institutional policies, laws, regulations, and professional or disciplinary standards in a manner that will allow verification or replication of the work by others.

Redundant publications (also known as self-plagiarism): the re-publication of one's own previously published work or part thereof, including data, in any language, without adequate acknowledgment of the source, or justification.

Responsible Conduct of Research: the behavior expected of anyone who conducts or supports research activities throughout the life cycle of a research project...It involves the awareness and application of established professional norms, as well as values and ethical principles that are essential in the performance of all activities related to research. These values include honesty, fairness, trust, accountability, and openness.

Rigour: scholarly and scientific rigour in proposing and performing research; in recording, analyzing, and interpreting data; and in reporting and publishing data and findings.