

**Policy Title:**           **Research Integrity**  
Policy Approver:  
Policy Holder:       Vice-President, Research  
Category:            Academic  
Original Date:       January 2007  
Last Revised:       June 2014  
Next Review:        January 2019

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### **Policy Statement**

Yukon University is committed to expanding northern research and innovation opportunities and strives to maintain the highest ethical standards in all of its research and scholarly activities.

The University requires procedures to ensure that individuals involved in research and scholarship through the University meet the highest standards of conduct and adhere to the ethical principles described in the Tri-Council Policy Statement.

### **Approval Statement**

With the consent of the Senior Executive Committee and approval of the President of Yukon College, this policy is hereby deemed in effect the 11<sup>th</sup> day of June, 2014.

Karen Barnes

June 11, 2014

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President, Yukon College

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Date

## 1. Purpose of Policy

Yukon University is committed to developing and maintaining administrative and operational policies and to ensuring such policies reflect the University's values, legal, and ethical requirements and purpose.

This Policy has been established to address issues of responsibility and accountability in research and scholarship. It outlines procedures for promoting integrity and for investigating allegations of misconduct in research and scholarship as directed by the Tri-Council Policy Statement, which includes the following organizations:

- Natural Sciences & Engineering Research Council of Canada, NSERC;
- Canadian Institutes of Health Research Council, CIHR; and
- The Social Sciences and Humanities Research Council of Canada, SSHRC.

## 2. Governing Legislation and Relevant Documents

Yukon University Act

BOG 3.0 – Yukon University President Responsibilities

RS 3.0 Research Ethics Policy

RS 4.0 Animal Welfare Policy

RS 5.0 Intellectual Property Policy

Tri-Council Policy Statement: Integrity in Research and Scholarship, ACUNS (Association of Canadian Universities for Northern Studies) Ethical Principles for the Conduct of Research in the North

Protocols and Principles for Conducting Research with Yukon First Nations Yukon Scientists and Explorers Act

Canadian Copyright Act

Guide to Patents, Industry Canada

## 3. Scope

This policy applies to any employee of Yukon University, any student enrolled at Yukon University who is involved in research, or anyone else affiliated with Yukon University engaged in research in any capacity whatsoever.

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#### 4. Definitions

**Research:** is defined by Canada Foundation for Innovation as "the attempt to discover new facts, knowledge, and information to develop new interpretations of facts, knowledge or information, or to discover new means of applying existing knowledge."

**Scholarship:** Scholarship is the application of systematic approaches to the acquisition of knowledge through intellectual inquiry. Scholarship includes the dissemination of this knowledge through various means such as publications, presentations (verbal and audiovisual), professional practice and the application of this new knowledge to the enrichment of the life of society.

Research and Scholarly Activity include but are not limited to:

1. Course writing and design including creation of technological materials;
2. Developing computer programs;
3. Compiling substantial scholarly bibliographies;
4. Translating material of scholarly interest;
5. Activities leading to the publication of books, monographs, articles and contributions in edited books;
6. Papers in refereed and non-refereed journals, and those delivered at professional meetings;
7. Obtaining additional appropriate academic and/or professional qualifications;
8. Researching for a doctoral dissertation or a master's thesis;
9. Consulting and contracting work under the auspices of the University, and other professional activities involving research;
10. Participation in panels, developing and presenting papers for scholarly conferences;
11. Unpublished research, including works in progress;
12. Editorial and refereeing duties;
13. Creative works and performances;
14. Producing literary and artistic works appropriate to one's discipline; and
15. Any other research or scholarly activities that the University considers, and which are generally considered to be research or scholarly activities by the academic community.

Scholarly activity does not normally include research directly related to the immediate preparation for teaching activity.

Misconduct in research and scholarship includes but is not limited to:

1. Fabrication and/or falsification of research data;
2. Plagiarism, theft of ideas or intellectual property, or misuse of another's work;
3. Failure to acknowledge the input of others such as students, co-researchers, research assistants and staff;
4. Use of unpublished work of others without permission;
5. Violation of copyright laws;
6. Failure to comply with terms and conditions of research grants and/or contracts;
7. Use of University resources, facilities and equipment for purposes other than that which has been properly approved by the University;
8. Abuse of supervisory power affecting staff, students or others associated with the research or any behaviour contrary to the Yukon University Code of Ethics;
9. Failure to account for or misapplication or misuse of funds and equipment acquired for support of research;
10. Failure to comply with relevant federal or provincial statutes or regulations or other agency and University policies for the protection of researchers, human participants, or the health and safety of the public, or for the welfare of animals; and
11. Failure to reveal any material conflict of interest to sponsors or to those who commission the research.

The above definition of misconduct does not include honest errors or differences in research methodologies, interpretations or judgments of data.

## 5. Procedures

Yukon University is committed to maintaining the highest ethical standards in all of its research and scholarly activities. Individuals involved in research and scholarship through the University have a primary responsibility for high standards of conduct in these activities and will adhere to ethical principles in their research activities.

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The University will provide the ethical guidelines for such activities and will provide education and support on proper practices in research and scholarly activity.

### 5.1 Tri-Council Policy Statement

Yukon University is committed to high standards of integrity, accountability and responsibility in the conduct of any research done by University staff or students, or by any other scholars who have a formal association with the University. This means (but is not limited to), upholding the following principles and responsibilities in accordance with the Tri-Council Policy Statement on integrity in research and scholarship:

1. Recognize and acknowledge the substantive contribution of all collaborators and students;
2. Acknowledge the work of others and use only with permission the unpublished work of other researchers, students and scholars;
3. Using archival material in accordance with the rules of the archival source;
4. Obtain the permission of the author before using new information, concepts or data originally obtained through access to confidential manuscripts or application(s) for funds for research or training that may have been seen as a result of processes such as peer review;
5. Using scholarly and scientific rigour and integrity in collecting, recording and analysing data and in reporting and publishing results;
6. 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 people;
7. Reveal to sponsors, universities, journals or funding agencies, 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;
8. Report any material conflict of interest that might influence the research, to the University, sponsors and funding agencies, and publishers as appropriate;
9. Obtain approval from the University Research Ethics Committee before undertaking any research involving human subjects or animals;
10. Comply fully with the approved research protocols in the performance of the research;

11. Using research funds in accordance with the terms and conditions under which those funds were received;
12. Avoid fabricating, falsifying and/or plagiarizing information with respect to all aspects of research and scholarly activity;
13. Respecting copyright laws.

Yukon University expects that its staff and students will carry out research and scholarly work while maintaining the highest ethical and scientific standards of academic integrity. Academic dishonesty of any sort will not be condoned and may be cause for disciplinary action.

The University will promote Tri-Council standards of integrity, accountability and responsibility in research and scholarship and will investigate any allegations of misconduct in a fair, unbiased and timely manner in keeping with the principles of natural justice.

## 5.2 University Responsibilities

The following are the responsibilities and procedures for promoting integrity and preventing and addressing misconduct in research and scholarly activities.

Promote integrity in research and scholarship

1. Develop awareness among all staff and students of the need for the highest standards of integrity, accountability and responsibility.
  - 1.1. Actively promote programs for the education of researchers, scholars, trainees, staff and students.
  - 1.2. Educate all those involved in the collection, recording, citing, and reporting of scientific or scholarly material on the expectations for the highest standards of integrity.
  - 1.3. Establish information sessions on the principles and practices of scientific integrity for staff, students and other research participants.
  - 1.4. Establish policies on related areas including requirements for authorship, copyrights and patents, etc.
2. Investigate allegations of misconduct in research and scholarship
  - 2.1. Allegations may arise from anonymous or identified sources within or outside the University. These may be well founded, honestly mistaken, or mischievous. The

University will remain impartial and follow set procedures to investigate allegations of misconduct.

### 5.3 Personnel Conducting Research Programs - Responsibilities

1. Researchers should be familiar with the University's expectations as described in this and associated policies and follow the procedures provided within.
2. Researchers must ensure that all staff and students conducting research under their supervision are made aware of the University's expectations regarding integrity, accountability and responsibility in the conduct of research and scholarly activity to prevent misconduct.
3. Researchers must monitor the work of students, research assistants and others, and oversee the design of research, research methodology and the processes of acquiring, recording, examining, interpreting and storing data. Simply editing the results of a research project does not constitute supervision.
4. Researchers must develop appropriate research procedures, understand the legal and ethical aspects of their research and inform team members of their individual and collective roles and responsibilities. Researchers must also devise appropriate procedures for the collection, storage and retrieval of original and computed data, ensuring its accuracy and proper acknowledgements.
5. Researchers are responsible for dealing fairly with all issues related to authorship, such as:
  - 5.1. Protecting the University's interest in the research;
  - 5.2. Determining authorship amongst the research team, of all publications, prototypes, patents and/or other products;
  - 5.3. Providing appropriate recognition to staff, students, administration and other researchers for their contribution to research; and
  - 5.4. Considering the legal and ethical implications resulting from the authorship of research results.

### 5.4 Allegations of Misconduct

Allegations of misconduct in research and scholarship may be made by any person. Allegations must be submitted in writing to the division Dean. Allegations must contain fully documented evidence and must be signed and dated by the complainant. However, the Dean

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may elect to initiate an investigation under this Policy upon receipt of compelling evidence submitted anonymously.

Allegations of misconduct must be made within six months of the alleged misconduct. In the case of a continuing violation, allegations must be made within six months after the last suspected incidence of the alleged violation. Where a person becomes aware of an act of misconduct only as a result of the work being published, a complaint may be made up to three months after the publication of the work, regardless of when the alleged misconduct occurred.

## **5.5 Procedures for Investigating Allegations of Misconduct**

### **1. Informal Consultation**

- 1.1. Alleged misconduct may be resolved through informal consultation between the researcher and the University. Departments are encouraged to set up mechanisms for resolution. A formal hearing may be required if not resolved.
- 1.2. If the complaint is not carried beyond the stage of informal consultation, Yukon University will maintain no written record of the names or parties or details of the allegations.

### **2. Formal Investigation**

- 2.1. If informal consultation fails to resolve the matter, the Yukon Research Centre (YRC) Director of Research Services or designate will hold a formal meeting with the researcher to discuss the allegation.
- 2.2. The YRC Director or designate will request a meeting, in writing, with the researcher. The request will:
  - 2.2.1. Include a summary of the allegation(s);
  - 2.2.2. Inform the researcher that the purpose of the meeting is to establish whether a formal investigation is required; and
  - 2.2.3. Inform the researcher of the right to be accompanied by a person chosen by the researcher in this and any other future meetings.
- 2.3. Records are to be kept of all meetings by the YRC Director.
- 2.4. The YRC Director, or designate will inform the researcher in writing whether:
  - 2.4.1. The allegation has been dismissed; or



- 2.4.2. A formal investigation is required.
  - 2.5. Should a formal investigation be required, the YRC Director or designate will inform the researcher in writing, including a full copy of the signed allegation and an invitation to respond to it in writing.
  - 2.6. Upon commencement of the investigation by an appointed review committee, the YRC Director will consult with representatives of Yukon University research committees.
  - 2.7. Normally within 35 working days of the commencement of the formal investigation, and after reviewing all the evidence gathered, the Chair or designate of the review committee will reach a decision and prepare a draft written report.
  - 2.8. The appropriate criterion for a decision is the presence of clear and convincing evidence. The report will include:
    - 2.8.1. A copy of the signed allegations, and the written response, if any, of the researcher;
    - 2.8.2. The findings of the Chair or designate as to whether the allegation has been upheld or not; and
    - 2.8.3. A statement of the reasons for the finding.
  - 2.9. The report will also describe any actions to be taken including, but not limited to, those listed below:
    - 2.9.1. Sanctions against a researcher found to have engaged in misconduct;
    - 2.9.2. Actions to protect or restore the reputation of the researcher if wrongly accused;
    - 2.9.3. Actions to protect a complainant found to have made a responsible accusation;
    - 2.9.4. Sanctions against a complainant found to have made an irresponsible or malicious allegation.
- 3. Disciplinary Actions (In accordance with the Yukon University Collective Agreement)**
- 3.1. Depend on severity of the offense and may include (but are not limited to):
    - 3.1.1. Reprimand, suspension and dismissal (employees);
    - 3.1.2. Reprimand, suspension and expulsion (students).
  - 3.2. If imposed, the Dean will meet with that person to discuss the case prior to final decision and finalization of report.

3.3. A copy of the final report will be sent to the complainant and the researcher.

#### 4. Appeal of Discipline

- 4.1. If it is found that formal disciplinary action will be taken, the researcher will have the right of appeal before any disciplinary actions occur. Appeals will be heard by an ad hoc advisory committee that will be struck by the President.
- 4.2. Appeals are made to the President in writing, within ten days of receipt of the decision of the Dean.
- 4.3. Within ten days of receipt of the appeal, an ad hoc advisory committee will be established, and the researcher notified of the members.
- 4.4. The advisory committee members will not have been members of the Investigative Committee.
- 4.5. The ad hoc advisory committee will review the case and provide a decision in writing to the President or his/her designate.
- 4.6. The President or his/her designate will, upon receipt of advice of the ad hoc advisory committee, decide whether or not the formal disciplinary action recommended by the Dean is to be overturned, upheld or otherwise modified. If the President or his/her designate accepts the advice of the advisory committee to overturn or modify the disciplinary action, the President or his/her designate will so advise any person identified in the complaint, the researcher and the Dean.
- 4.7. Where the disciplinary actions are overturned, the President or his/her designate in consultation with the researcher and the advisory committee will take all reasonable steps to repair any damage that the researcher's reputation for scholarly integrity may have suffered by virtue of the complaint.

#### 5.6 Retention of Documentation

The process and its outcomes will be fully documented and all documents pertaining to a complaint and its disposition must be retained as a confidential file in the Northern Research Institute office for a five-year period.

Until an allegation is substantiated, all proceedings take place in the strictest confidence.

#### 5.7 Notification of Funding Agencies and Research Collaborators

When an investigation has been concluded, and an allegation sustained, any agency sponsoring the research and/or research collaborators involved in the research will be informed. If an allegation is not sustained, sponsoring agencies and collaborators involved in the research will be informed when the researcher so requests.

## 6. Problem Solving

Any questions or concerns arising out of the intent, content, implementation, or communication of this policy should be reported to the Vice-President, Research.

Where a concern or dispute arises from a decision made as a result of applying or enforcing this policy, such as where an allegation(s) of misconduct arises from research or scholarly activities supported by Yukon University, the allegations will be dealt with through the provisions of this policy. In such cases the following sections of this policy apply:

- 5.04 Allegations of Misconduct;
- 5.05 Procedures for Investigating Allegations of Misconduct
  1. Informal Consultation
  2. Formal Investigation
  3. Disciplinary Actions
  4. Appeal of Discipline
- 5.06 Retention of Documentation
- 5.07 Notification of Funding Agencies and Research Collaborators.

## 7. Other Related and/or Accompanying Documents

Addendum A - Policy Communication Checklist

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**ADDENDUM A - POLICY COMMUNICATION CHECKLIST**

Policy Name: Research Integrity

Number: AR 2.0

Submitted by: Clint Sawicki

List those consulted with in preparation of this policy:

Name	Department	Date
YC Staff	All	May 2014

The order for communication and/or consultation for a new or revised policy is as follows:

1. SEC – initial review and recommendations from SEC membership;
2. Identified stakeholders within Yukon College in order of priority – see below;
3. SEC – to be briefed on any issues arising out of stakeholder consultations;
4. Staff – SEC members to bring policy to their staff for feedback (*SEC member introducing this policy is responsible for sending to SEC, requesting that it be circulated to their staff for feedback*);
5. SEC – final draft supported by SEC membership and approved by the President.

This checklist must be completed prior to the final draft of a policy being presented to SEC for presidential approval.

Body	Communication Planned	Completed	Comments
SEC	Send to YC Staff	May 2014	
Student Union			
Employee's Union			
Occupational Health and Safety			
Academic Council			
Board or a Board subcommittee			
<i>Other</i>	YC Staff and Faculty	May 2014	
SEC for Final Review	Final approval	June 11, 2014	