

University of Prince Edward Island	Policy No. admordgn10004	Revision No: 1
Policy Title: Responsible Conduct of Research, Scholarly and Creative Work		Page 1 of 6
Creation Date: May 3, 1995	Version Date: January 10, 2014	
Authority: Senate	Review Date: January 10, 2019	
Responsibility: Vice-President, Research & Graduate Studies		Access : W

1. Introduction

1.1 The search for knowledge is the essence of University scholarly work -- research and publication -- and integrity is fundamental to that activity. It is important for the credibility of the University that the scholarly activities of University members are held in the highest regard, and are seen as rigorous and scrupulously honest.

2. Purpose

2.1 The purpose of this policy is to set forth the standards for research integrity for all those involved in any capacity in research, scholarly and creative work at the University of Prince Edward Island.

3. Scope

- 3.1 For purposes of this document “research” encompasses the creation and dissemination of new knowledge and understanding through research, scholarly and creative work.
- 3.2 This policy applies to all members of the University involved in research, in any capacity whatsoever.
- 3.3 This policy includes two procedural documents entitled “*Procedures for Addressing Allegations of Misconduct in Scholarly Activity at UPEI*” and “*Procedures for Stewardship of Research Records and Materials at UPEI*”. Allegations of research misconduct brought against graduate or undergraduate students will be dealt with, in a timely manner, either through the “*Responsible Conduct of Research, Scholarly, and Creative Work*” policy, or through the “*Regulations on Student Academic Misconduct*”, as determined by the Vice-President, Research and Graduate Studies.

4. Responsibility

4.1 Responsibility for establishment and amendment of this policy rests with the Vice- President, Research and Graduate Studies.

5. Definitions

- 5.1 Research Integrity is the coherent and consistent application of values and principles essential to encouraging and achieving excellence in the search for, and dissemination of, knowledge. The core values of research integrity include honesty, fairness, trust, accountability and openness. The academic community advances the quest for knowledge and understanding in accord with these values.
- 5.2 Members of the University include, but are not limited to faculty, administrators, professors emeriti, sessional instructors, librarians, staff, trainees, clinical faculty, graduate and undergraduate students, adjunct professors, visiting professors, visiting scholars, professional affiliates, associate members, residents, and postdoctoral fellows at the University of Prince Edward Island.
- 5.3 Research Misconduct includes, but is not limited to:
- 5.3.1 The intentional fabrication or falsification of data, research procedures, or data analysis; misappropriation of data; plagiarism; or other forms of fraudulent or improper behaviour in proposing, conducting, reporting, or reviewing research;
 - 5.3.2 Failure to comply with international, federal, provincial or University guidelines for the protection of researchers, human subjects, or the public, or for the welfare of all animals, or failure to meet other legal requirements that relate to the conduct of research;
 - 5.3.3 Failure to comply with the policies of the University and external funding agencies on the appropriate use of research funds;
 - 5.3.4 Failure to reveal to the sponsors any conflict of interest when asked to undertake reviews of research grant applications or to test products for sale or distribution to the public;
 - 5.3.5 Failure to reveal to the University any financial interest in a business that contracts with the University of Prince Edward Island to undertake research, particularly research involving the company's products, or to provide research-related materials or services. Financial interest means ownership, direct or indirect beneficial interest, substantial stock holding, a directorship, and significant honoraria or consulting fees, but does not include minor stock holding in publicly traded corporations.

6. Responsibilities of Members of the University

- 6.1 In creating an environment that respects research integrity, members of the research community shall act in accord with the following set of principles, which arise from the core values defined above:
 - 6.1.1 Comply with regulatory requirements and legislation: Individuals must obtain all necessary approvals from the University, respective granting agencies and other relevant organizations, including, but not limited to, research involving humans or animals, biohazards, radioactive materials, fieldwork, and research having potential effects on the environment;
 - 6.1.2 Conduct research in an honest search for knowledge: Take a fair, open, and reliable approach to all activities that support, fund, or otherwise encourage research;
 - 6.1.3 Foster an environment of research integrity, accountability, and public trust: Individuals should take responsibility for creating, implementing, maintaining, and complying with policies and practices designed to ensure accountability and the maintenance of public trust;
 - 6.1.4 Provide accurate and complete information in applications for research funding: Research activities and accomplishments should be clearly and accurately represented in accordance with the norms of the discipline, and all co-applicants must be aware of and must agree to participate in funding applications;
 - 6.1.5 Report conflicts of interest and address them in an ethical manner: Personal and institutional conflicts of interest, or the appearance of conflict of interest, should be avoided. When unavoidable, each instance should be identified, disclosed, carefully examined, and managed in accordance with the University Policy on *Conflict of Interest in Research*;
 - 6.1.6 Use research funds responsibly: Individuals should ensure the responsible allocation and management of research funds in accordance with sound academic and financial principles and in accordance with the policies of the university and appropriate funding agencies;
 - 6.1.7 Review the work of others with integrity: Individuals should engage in, and organize peer review and the evaluation of the work of others in a manner that reflects the highest scholarly, professional, and scientific standards of fairness and confidentiality;
 - 6.1.8 Deal with data in a scholarly manner: Researchers should propose, perform, record, analyze, interpret, report, publish, and archive research

data and findings, in accordance with applicable funding agreements, regulations, laws, or standards;

- 6.1.9 Acknowledge all contributors and contributions in research: All individuals who have made a substantial contribution to and take responsibility for some aspect of the research reported in a publication or presentation, should be acknowledged fairly and accurately. Further, all contributors should be made aware of a publication or presentation bearing their names;
- 6.1.10 Reference other research in a responsible way: The published and unpublished works of others, including methodologies, research findings, figures/images should be accurately referenced, and if applicable, permission obtained;
- 6.1.11 Engage in the responsible training of researchers: Research investigators, particularly new scholars, should have access to education, mentoring, and support to develop and maintain the skills and capacities required for conducting and managing research in accordance with relevant scholarly and ethical standards. An individual's level of responsibility should be commensurate with his or her competence and experience;
- 6.1.12 All members of the University performing research at the University of Prince Edward Island shall carefully supervise all research staff including postdoctoral fellows, graduate and undergraduate students, technical and other support staff for whom they have responsibility. This is especially important in the case of personnel who have just commenced their training.

7. Responsibilities of The Institution

- 7.1 The Institution is responsible for establishing, applying and monitoring research conduct policies, and promoting and administering research, scholarly, and creative work at the University so that it is conducted in accord with the highest standards of research integrity. The Institution is also responsible for:
 - 7.1.1 Dealing expeditiously and fairly with any known instances or allegations of research misconduct; and
 - 7.1.2 Encouraging activities that support research integrity among University Members.

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- 7.2 Under this policy, the Vice-President, Research and Graduate Studies is responsible for:
 - 7.2.1 Determining whether a formal investigation will occur; and
 - 7.2.2 Directing and overseeing formal investigations, as outlined in the *Procedures for Addressing Allegations of Misconduct in Scholarly Activity at UPEI* and *Procedures for the Stewardship of Research Records and Materials at UPEI*.

8. Confidentiality

- 8.1 All Members of the University involved with investigations with respect to research integrity shall protect the confidentiality of information regarding a potential violation of this Policy to the fullest extent possible. If the allegation is substantiated, the University reserves the right to use or disclose information in accordance with the Tri-Agency Framework: Responsible Conduct of Research that may include disclosing the discipline, if any, imposed on members of the University.

9. Education

- 9.1 To promote a greater understanding of research ethics, integrity issues and the consequences of unethical behavior, the University will offer workshops, seminars, web-based materials, courses, and research ethics training for University members along with orientation for those members who are new to the university.

10. Implementation

- 10.1 Approval and implementation of any changes in the policy and procedures are to be carried out in accordance with the provisions of the collective agreements.
- 10.2 This policy and supporting procedures will be reviewed after five (5) years. The review is to be initiated by the Vice-President, Research and Graduate Studies.

References /Sources (Passages of the Policy were adapted from the following):

1. Honesty, Accountability and Trust: Fostering Research Integrity in Canada – Report in Focus. 2010. Council of Canadian Academies
<http://www.scienceadvice.ca/en/assessments/completed/research-integrity.aspx>

2. Honesty, Accountability and Trust: Fostering Research Integrity in Canada - The Expert Panel on Research Integrity. 2010. Council of Canadian Academies
<http://www.scienceadvice.ca/en/assessments/completed/research-integrity.aspx>

3. Research Integrity Policy. 2010. University of Saskatchewan.
http://www.usask.ca/university_secretary/policies/research/8_25.php

4. Tri-Agency Framework: Responsible Conduct of Research. 2011. Government of Canada.
<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>