

Senate Academic Policy Summary Sheet

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| <b>Policy Title:</b>  |  |
| <b>Policy Number:</b><br><i>(if new policy leave blank)</i>         |  |
| <b>Creation Date:</b><br><i>(if new policy leave blank)</i>         |  |
| <b>History of Amendments:</b><br><i>(if new policy leave blank)</i> |  |
| <b>Who amended the Policy:</b>                                      |  |
| <b>Purpose of Change(s):</b>  |  |
| <b>Section(s) of Policy that have been amended:</b>                 |  |
| <b>Possible Issue(s) for Discussion:</b>                            |  |

University of Prince Edward Island
Senate Academic Policy Tracking Form

Policy Status: [ ] New Policy, [x] Revised Policy, [ ] Cancellation of Existing Policy

Policy Title: Responsible Conduct of Research, Scholarly and Creative Work

In a separate document, please describe the personnel, department, and committee (if applicable) involved in drafting this document and the purpose thereof. If an amendment, please provide a highlighted copy reflecting the changes.

Originating Person/Department

1 Vice-President, Academic & Research

2

X Originating Dept's Head recommendation for review and approval: VPAR
September 19th, 2024
Date
Signature: JFW Watson

[ ] Reviewed by:
Secretary of Senate/ Chair of Senate
Date
Signature
University Auditor
Date
Signature

X Vetted by legal counsel (Optional)
July 8th, 2024
Date
Jacob Zelman
Name of Legal Counsel

[ ] Authorized for Approval by the President
Date
Signature

[ ] Senate Approval
Date Approved by Senate
(Return Approved Policy to the Senate Assistant)

For Office Use
Date of Receipt of Approved Policy
Assigned Policy Number
Date of Approval of Policy Changes
Date of Posting Policy to Policy Website
Signature
[ ] Check box if not to be posted to website

This is a major revision of the Responsible Conduct of Research, Scholarly and Creative Work policy. Below is a description of the personnel, departments, and committee (if applicable) involved in drafting this document and the purpose thereof:

The VPAR is responsible for this policy which falls under the research part of this portfolio. The policy was supposed to be reviewed in January 2019; as it currently stands, it is not in compliance with Tri-Agency Framework: Responsible Conduct of Research (2021). So, this is the main **purpose** of these major revisions (see attached with tracked changes) and why VPAR, AVPR and Office of Research Services (ORS) were involved in the review.

According to article F6.22 in the UPEIFA Collective Agreement, the policy cannot be modified without written consent of the UPEIFA. As a Senate policy, it should be reviewed by Senate Research Advisory Committee (RAC). Input from Deans was also sought. So this represents the **purpose** of review by those units and committees.

- VPAR initiated revision (2022).
- AVPR and ORS reviewed revisions (2023-24).
- AVPR took to RAC for discussion 3 times (November 2023, May 2024, October 2024)
- VPAR took to Deans' Council for discussion (December 12, 2023)
- Legal review (June-July 2024)
- UPEIFA Executive (2022-2024, approval Thursday September 19<sup>th</sup>, 2024; modified Tuesday October 1st, 2024)

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| <b>University of Prince Edward Island</b>   | <b>Policy No.</b> admordgn10004         | <b>Revision No:</b> 1 |
| <b>Policy Title:</b> Responsible Conduct of Research, Scholarly and Creative Work |   | <b>Page</b> 1 of 13   |
| <b>Creation Date:</b> May 3, 1995   | <b>Version Date:</b> September 24, 2024 |                       |
| <b>Authority:</b> Senate  | <b>Review Date:</b> January 2029        |                       |
| <b>Responsibility:</b> Vice-President, Academic and Research                      |   | <b>Access :</b> W     |

**1. Principle**

1.1 The University of Prince Edward Island is committed to excellence in scholarly activities and as such is committed to ensuring that the highest standards of ethical conduct and scholarly integrity are understood and practiced.

**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.

**3. Scope**

3.1 This policy applies to all University Members (as defined in section 5.1.10) who pursue research, scholarly and/or creative work, regardless of the geographic location of the research.

3.2 Where required, the minimum requirements set out in the [Tri-Agency Framework: Responsible Conduct of Research](#) (the “Tri-Agency Framework”), as it is amended from time to time, must be met in the conduct of research at the University. The Tri-Agency Framework describes Agency policies and requirements related to applying for and managing Agency funds, performing research, and disseminating results, and the processes that Institutions and Agencies follow in the event of an allegation of a breach of an Agency policy. The Agencies require that all researchers applying for, or in receipt of, Agency funds comply with the Tri-Agency Policy.

**4. Interpretation**

4.1 Members of the University will follow the Tri-Agency Framework and, to the extent of any inconsistency, this policy will be interpreted in a manner consistent with the Tri-Agency Framework.

4.2 This Policy should be read in conjunction with the Tri-Agency Framework and University policies, as applicable. Allegations of research misconduct brought against Members of the University will be dealt with, in a timely manner, through the *Responsible Conduct of Research, Scholarly, and Creative Work* policy or the

*Regulations on Student Academic Misconduct*, as determined by the Vice-President Academic and Research.

## 5. Definitions

5.1 In this Policy:

5.1.1 **Agency** means any one of the three agencies below listed under the definition of “Agencies” applicable to the situation, as it may arise.

5.1.2. **Agencies** means Canada’s three federal granting agencies: the Canadian Institutes of Health Research (CIHR); the Natural Sciences and Engineering Research Council of Canada (NSERC); and the Social Sciences and Humanities Research Council of Canada (SSHRC).

5.1.3. **Allegation** means a declaration, statement, or assertion communicated in writing to an institution or Agency to the effect that there has been, or continues to be, a breach of one or more Agency policies, the validity of which has not been established.

5.1.4. **Applicant (including co-applicant)** means an individual who has submitted an application, individually or as part of a group or team, for funding from the Agencies.

5.1.5. **Breach** means a failure to comply with this policy or the Tri-Agency Framework (as it is amended from time to time) throughout the life cycle of a research project – from application for funding, to the conduct of the research and the dissemination of research results. It includes all activities related to the research, including the management of Agency funds.

5.1.6. **Complainant** means an individual or representative from an organization who has notified the University or Agency of a potential Breach of policy.

5.1.7 **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.

5.1.8. **Inquiry** means the process of reviewing an allegation to determine whether the allegation is responsible, the particular policy or policies that may have been breached, and whether an investigation is warranted based on the information provided in the allegation.

5.1.9. **Investigation** means a systematic process, conducted by the University's Complaint Investigation Committee (CIC), of examining an allegation, collecting and examining the evidence related to the allegation, and making a decision as to whether a breach of a policy(ies) has occurred.

5.1.10 **Member(s) of the University** includes, but is 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.

5.1.11 **Research:** An undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation.

5.1.12 **Research Integrity** means 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, openness and principles outlined in the Tri-Agency Framework. The academic community advances the quest for knowledge and understanding in accord with these values.

5.1.13 **Respondent** means an individual who is identified in an allegation as having possibly Breached Agency and/or this policy.

5.1.14 **University** means the University of Prince Edward Island.

## 6. Integrity in Research, Scholarly, and Creative Work

- 6.1 Scholarly activity varies among the disciplines. It includes the actual conduct of research as well as publication of original work, artistic or engineering design, and performance in the arts or in professional areas.
- 6.2 As a scholarly community, the University and Members of the University have a responsibility to maintain the highest standards of academic integrity and scholarship, specifically:
  - 6.2.1 citing the contributions of others;
  - 6.2.2 obtaining permission to use the unpublished work of others and duly acknowledging the work;
  - 6.2.3 respecting the privileged access to information or ideas obtained from confidential manuscripts or applications;

6.2.4 ensuring that primary data resulting from scholarly activity are available for a reasonable period of time, except where such access could violate the anonymity of subjects or the confidentiality of data;

6.2.5 using all University and research resources responsibly, including support staff as well as funds, equipment, materials, and research subjects;

6.2.6 being rigorous in scholarly activity including experimental design and interpretation of research results.

6.3 The researcher is responsible for the safe storage of primary data resulting from scholarly activity. They will ensure that such material will be available (except where such access could violate the anonymity of subjects or the confidentiality of data) for a period of five years unless a funding council or agency specifies a longer time.

6.4 Before a researcher leaves the University, they must arrange access and safe storage of records with their immediate supervisor.

6.5 No Member of the University should exploit students. Specific examples of exploitation of students include, but are not limited to:

6.5.1 engaging students to perform services not related to their program of study, or using human subjects in cases where individuals might reasonably fear that refusal would be detrimental to their interests;

6.5.2 failing to give proper recognition to the ideas, work or assistance of individuals or to obtain, where appropriate, prior permission for the use of work done;

6.5.3 encouraging graduate students to prolong research beyond the point necessary for successful completion of a thesis, and solely to further the interests of the faculty member.

## **7. Responsibilities of the University**

7.1 The University 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 accordance with the highest standards of research integrity. The University is also responsible for:

7.1.1 Dealing expeditiously and fairly with any known instances or allegations of research misconduct.

7.1.2 Establishing a Standing Committee (the “Scholarly Integrity Committee” or “SIC”), elected by Senate, from which the Vice-President, Academic

and Research, will draw when constituting a Complaint Investigation Committee (“CIC”) or performing an initial inquiry. The SIC will consist of not less than seven faculty members and librarians elected by the Senate, but not necessarily from Senate. To ensure a diversity of view and backgrounds, no two members should be elected from the same Faculty. The chair will be elected from the committee membership, normally with a term of two years. The SIC shall meet at least once per year to discuss any issues arising from this policy, and to recommend revisions of this policy when necessary.

7.1.3 Encouraging activities that support research integrity among Members of the University.

7.2 Under this policy, the Vice-President, Academic and Research, is responsible for such duties as set out under section 9.2 of this Policy and such further obligations as may arise under the Tri-Agency Framework, as it is amended from time to time.

## **8. Responsibilities of Members of the University**

8.1 Ensuring adherence to conduct that maintains generally accepted standards of scholarly integrity is the shared responsibility of all Members of the University.

8.2 All Members of the University are required to cooperate in any investigation process initiated under this Policy.

8.3 In creating an environment that respects research integrity, Members of the University shall act in accord with the following set of principles (which arise from the core values defined above):

8.3.1 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;

8.3.2 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;

8.3.3 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;



- 8.3.4 Provide accurate and complete information in applications for research funding: Researchers should not misappropriate their identity and/or academic credentials. 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;
- 8.3.5 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 mitigated in accordance with the University's Conflict of Interest Policy;
- 8.3.6 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;
- 8.3.7 Review the work of others with integrity: Individuals should engage in 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;
- 8.3.8 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.
- 8.3.9 Acknowledge all contributors and contributions in research: All persons who have made a substantial contribution to and take responsibility for some aspect of the research and scholarly work reported in a publication, presentation or patent, should be acknowledged fairly and accurately. Further, all contributors should be made aware of a publication, presentation, or patent bearing their names;
- 8.3.10 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, with permission obtained;
- 8.3.11 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 their competence and experience;

8.3.12 All Members of the University performing research at the University shall conscientiously supervise and train 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.

## **9. Addressing Allegations of Policy Breach**

### **9.1 Allegations**

- 9.1.1 Allegations of scholarly misconduct are submitted to the Vice President, Academic and Research, unless they involve the President (9.1.5) or the Vice President, Academic and Research (9.1.6). They may be received from within or outside the University.
- 9.1.2 The allegation of scholarly misconduct must be formulated in writing and shall include evidence in sufficient detail to make clear the nature of the scholarly activity which is regarded as being the subject of misconduct, together with a brief description of the facts, names of the complainant(s) and respondent(s), events and circumstances which describe the allegations.
- 9.1.3 The investigative process will follow the principle to protect, to the extent possible, the individual making an allegation in good faith or providing information related to an allegation from reprisals in a manner consistent with relevant legislation.
- 9.1.4 An anonymous allegation may be considered only if accompanied by sufficient information to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the complainant.
- 9.1.5 Allegations involving the President shall be forwarded to the Chair of the Board of Governors or their designate who shall then be responsible for ensuring that these procedures are followed.
- 9.1.6 Allegations involving the Vice-President, Academic and Research, shall be forwarded to the President or their designate who shall then be responsible for ensuring that these procedures are followed.

## 9.2 Responsibilities of the Vice-President, Academic and Research

- 9.2.1 The Vice-President, Academic and Research, shall be responsible for ensuring that the procedures in this document and in the Tri-Agency Framework are followed.
- 9.2.2 Upon receipt of an allegation of scholarly misconduct, the Vice-President, Academic and Research, shall initiate an inquiry by member(s) of the SIC to establish whether a reasonable basis exists to proceed to an investigation.
- 9.2.3 The Vice-President, Academic and Research, may independently or at an Agency's request in exceptional circumstances take immediate action to protect the administration of Agency funds if they conclude that the risk to the University is in some way untenable without action. Immediate actions could include freezing grant accounts, requiring a second authorized signature from an institutional representative on all expenses charged to the researcher's grant accounts, or other measures, as appropriate.
- 9.2.4 Where the allegation is related to conduct that occurred at another institution (whether as an employee, a student or in some other capacity), the Vice-President, Academic and Research will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The institution that receives the allegation must communicate to the complainant which institution will be the point of contact for the allegation.
- 9.2.5 The Vice-President, Academic and Research, shall provide affected parties with relevant information about the process and outcome of the inquiry and investigation.
- 9.2.6 Where the Vice-President, Academic and Research, may be in a real, potential or perceived conflict of interest, a designate shall be assigned to fulfill the responsibilities of the Vice-President, Academic and Research.

## 9.3 Inquiry

- 9.3.1 The SIC will receive the allegation (9.2.2) and then one or more members of the SIC, who are qualified to assess whether the allegation is responsible, conducts an initial inquiry to assess whether there is sufficient merit for the allegation to be investigated, and reports back to the Vice-President, Academic and Research.
- 9.3.2 The initial inquiry process provides the complainant and respondent with an opportunity to be heard as part of the inquiry.
- 9.3.3 The inquiry shall normally be completed within fifteen (15) days and will recommend rejection of the allegation if it meets any of the following criteria:

- (i) Allegation was not made in good faith;
- (ii) Allegation is not responsible, as per the Tri-Agency Framework; and/or
- (iii) Allegation is regarding a matter being dealt with under another University policy or procedure, or would be more appropriately directed to other bodies or offices to deal with aspects of the allegation that are beyond the scope of this policy.

9.3.4 The Vice-President, Academic and Research, will consider the information gathered during the inquiry and submitted in a report from the SIC, and any other factors that promote both fairness and the best interests of the University, before deciding to proceed to an investigation.

#### 9.4 Investigation

9.4.1 If a reasonable basis exists to proceed to an investigation, then within fifteen (15) days of receipt of the report from the SIC that the allegation of scholarly misconduct is responsible, the Vice-President, Academic and Research, shall:

- (i) Inform the complainant and the respondent of the procedures under this Policy;
- (ii) Send a copy of the allegation to the respondent and to the Dean (or equivalent) of the Faculty or School of record of the respondent; and
- (iii) Appoint a CIC to conduct an investigation.

9.4.2 The CIC will consist of three members reflecting a diversity of views and backgrounds and shall include members who have the necessary expertise and who do not have a conflict of interest, whether real or perceived. The CIC will consist of two (2) members from the SIC with the requisite knowledge to address the complaint and one (1) external member who has no current affiliation with the University.

9.4.3 The CIC Chair will be the SIC member selected.

9.4.4 The Vice-President, Academic and Research, shall immediately notify both the respondent and complainant of the composition of the CIC.

9.4.5 Any objection to the composition of the CIC on the part of the respondent or complainant shall be made to the Vice-President, Academic and Research, within six (6) days. The disposition regarding any such objection and decision by the Vice-President, Academic and Research, shall be final.

- 9.4.6 The CIC shall invite the respondent, accompanied by an advisor if the respondent so desires, to address the composition of the CIC prior to its seeking or obtaining any other information or submissions. Thereafter, the respondent may attend other meetings of the Committee only by invitation of the Chair until the Committee has received all the information or submissions it deems appropriate.
- 9.4.7 The respondent has the right to choose an advisor who may be a colleague, friend, legal counsel, or a person recommended by the appropriate union or association.
- 9.4.8 Prior to meeting to consider its decision, the CIC shall advise the respondent of the evidence being considered by the CIC, and shall invite the respondent, accompanied by an advisor if the respondent so desires, to meet with it and to respond fully to that evidence.
- 9.4.9 Prior to receiving evidence from any person not already identified in the complaint or identified to the respondent during the assessment, the CIC shall advise that person that it is necessary in the interest of justice to reveal that person's identity to the respondent.
- 9.4.10 Once the CIC determines that it has collected all the relevant evidence for consideration, the draft summary of evidence will be provided to the respondent and the respondent shall be invited to respond fully to that evidence, declaring factual errors and omissions. The CIC shall invite the respondent (accompanied by an advisor if the respondent so chooses) to provide this response during an in-person meeting, but the respondent may alternatively elect to respond in writing.
- 9.4.11 Within thirty (30) days of being appointed, the CIC shall complete its investigation, and shall submit an Investigation Report to the Vice-President, Academic and Research. Under exceptional circumstances, the 30-day period may be exceeded, in which case the CIC shall immediately inform the Vice-President, Academic and Research as to the reason(s) for the delay.
- 9.4.12 The Investigation Report shall include:
- (i) details of the allegation;
  - (ii) a summary of the investigation process, including individuals interviewed and evidence obtained;
  - (iii) written responses from the respondent (if any);
  - (iv) a determination of whether there has been a breach of this Policy;
  - (v) reason(s) for any delay in the procedures; and
  - (vi) the CIC's reasoned decision regarding the investigation:

- a) that the Respondent is not guilty of any misconduct and the matter is dismissed; or
- b) that the allegation is substantiated in whole or in part.

9.4.13 The report must be supported by a CIC majority. If the CIC is unable to reach a majority decision, the CIC Chair may submit an advisory recommendation to the Vice-President, Academic and Research, of the next course of action to reach a decision. Options may include, but are not limited to, initiating a new investigation with an entirely new CIC or abandoning the investigation.

9.4.14 The Vice-President, Academic and Research, shall forward the Investigation Report to the Respondent, and the Dean (or equivalent) of the Faculty or School of record of the respondent.

9.4.15 A version of the Investigation Report may be partially redacted (in accordance with applicable privacy legislation and procedures) if required to protect confidentiality and identity of persons involved in the investigation.

9.4.16 The Vice-President, Academic and Research, shall, upon receiving the Investigation Report, make a recommendation to the President or designate as to whether formal disciplinary action is recommended in accordance with the applicable collective agreement and/or employment contract, where one exists, and taking into consideration contractual and other obligations to external organizations within five (5) days. If the Vice-President, Academic and Research, accepts the advice of the CIC to dismiss the allegation, the Vice-President, Academic and Research, shall so advise any person identified in the allegation, the respondent and the President. Otherwise the notification requirements of the applicable collective agreement and/or employment contract, where one exists, shall be followed.

9.4.17 Timeline extension under section 9.4 may be granted at the discretion of the Vice-President, Academic and Research, if deemed to support a fair and rigorous process and when those affected by the allegation(s) will not be unduly prejudiced.

9.4.18 For Allegations determined to be unfounded, every effort will be made by the University to protect or restore the reputation of those wrongly subjected to an unfounded allegation.

## 9.5 Appeal

9.5.1 If the Respondent disagrees with the disposition or the investigative process, the Respondent may appeal the decision of the Vice-President, Academic and Research by filing a written notice of appeal and statement of appeal to the President or Designate within thirty (30) days of the delivery of the decision.

- 9.5.2 The President or designate will review the Investigation Report and written statement of appeal, and determine whether or not the grounds for appeal are valid. The President or designate will rule on the appeal within fifteen (15) days of its submission.
- 9.5.3 Should the President or designate determine there are no valid grounds for the appeal, it shall be dismissed.
- 9.5.4 Should the President or designate determine there are valid grounds for the appeal, the President or designate shall inform the complainant(s) and respondent(s) that an Ad-Hoc Appeals Committee shall be constituted in the same fashion as the CIC, except that the members shall not have been members of the CIC.
- 9.5.5 The Ad-Hoc Appeals Committee shall conduct its task in the same manner as the CIC, except that the decision shall be made in writing to the President or designate.
- 9.5.6 The President or designate shall, upon receipt of the report of the Ad-Hoc Appeals Committee, decide whether or not the formal disciplinary action recommended by the Vice-President, Academic and Research, is to be overturned, upheld or otherwise modified. If the President or designate accepts the advice of the Ad-Hoc Appeals Committee to overturn or modify the sanctions, the President or designate shall so advise any person identified in the complaint, the respondent and the Vice-President, Academic and Research.
- 9.6 Notification of Funding Agencies and Research Collaborators
- 9.6.1 The Vice-President, Academic and Research, shall advise the relevant Tri-Council Agency if the allegation is substantiated, and is related to activities funded by a Tri-Council Agency that may involve significant financial, health and safety, or other risks. The notification will include the name of the respondent and the nature of the misconduct.

## **10. Confidentiality**

- 10.1 All parties involved in a complaint Investigation with respect to Research Integrity shall fully protect the confidentiality of information regarding a potential violation of this Policy. The University's commitment to protecting personal information and privacy is outlined in its *Access to Information and Protection of Personal Information and Privacy* policy.
- 10.2 If the allegation is substantiated, the University reserves the right to use or disclose information in accordance with the Tri-Agency Framework, that may include disclosing the discipline, if any, imposed on Members of the University.

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

## **11. Education**

11.1 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/or research ethics training for Members of the University through the Office of Research Services, along with orientation for those members who are new to the University.

## **12. Retention of Documentation**

12.1 The process and its outcomes shall be fully documented, and those records must be retained as a confidential file in the Office of the Vice-President, Academic and Research, for a period of ten (10) years following the disposition of a complaint.

## **13. Responsibility**


13.1 The Senate is responsible for establishment and amendment of this policy.

13.2 The Vice-President, Academic and Research, is responsible for the administration of this policy.

13.3 Approval and implementation of any changes in the policy and procedures are to be carried out in accordance with the provisions of applicable collective agreements.

13.4 This policy and will be reviewed every five (5) years. The review shall be initiated by the Vice-President, Academic and Research.



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|  <b>University of Prince Edward Island</b> | <b>Policy No.</b> admordgn10004  | <b>Revision No:</b> 1 |
| <b>Policy Title:</b> Responsible Conduct of Research, Scholarly and Creative Work   | <b>Page</b> 1 of <del>18</del> 136   |                       |
| <b>Creation Date:</b> May 3, 1995   | <b>Version Date:</b> <del>January 10, 2014</del> <del>November</del> <del>January</del> <del>July</del> <del>17</del> <del>September</del> <del>1924</del> <del>304, 2022</del> <del>2023</del> <del>4</del> |                       |
| <b>Authority:</b> Senate  | <b>Review Date:</b> <del>January 10, 2019</del> <del>January 2029</del>  |                       |
| <b>Responsibility:</b> Vice-President, <del>Academic and Research &amp; Graduate Studies</del>                              | <b>Access :</b> W  |                       |

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## 1. IntroductionPrinciple

1.1 The University of Prince Edward Island is committed to excellence in scholarly activities and as such is committed to ensuring that the highest standards of ethical conduct and scholarly integrity are understood and practiced. 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.

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## 2. Purpose

2.1 The purpose of this policy is to set forth the standards for Rresearch 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 This policy applies to all ~~persons~~University Members (as defined in section 5.1.10) who pursue ~~scholarly~~research, scholarly and/or creative work, ~~including students, faculty members, and staff of the University, and all research conducted by those persons~~ regardless of the geographic location of the research. ~~For purposes of this document “research” encompasses the creation and dissemination of new knowledge and understanding through research, scholarly and creative work.~~

3.2 Where required, the minimum requirements set out in the *Tri-Agency Framework: Responsible Conduct of Research* (the “Tri-Agency Framework”), as it is amended from time to time, must be met in the conduct of research at the University. The Tri-Agency Framework describes Agency policies and requirements related to applying for and managing Agency funds, performing research, and disseminating results, and the processes that Institutions and Agencies follow in the event of an allegation of a ~~b~~Breach of an Agency policy. The Agencies require that all researchers applying for, or in receipt of, Agency funds comply with the Tri-Agency Policy. ~~This policy applies to all members of the University involved in research, in any capacity whatsoever.~~

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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 Interpretation

4.1 ~~Responsibility for establishment and amendment of this policy rests with the Vice President, Research and Graduate Studies. Members of the University will follow the Tri-Agency Framework and, to the extent of any inconsistency, this policy will be interpreted in a manner consistent with the Tri-Agency Framework. The University and Members of the University will follow the Tri-Agency Framework.~~

4.2. This Policy should be read in conjunction with the Tri-Agency Framework and University policies, as applicable. –Allegations of research misconduct brought against Members of the University will be dealt with, in a timely manner, through the *Responsible Conduct of Research, Scholarly, and Creative Work* policy or the *Regulations on Student Academic Misconduct*, as determined by the Vice-President Academic and Research.

~~4.3 Members of the University will follow the Tri-Agency Framework and, to the extent of any inconsistency, this policy will be interpreted in a manner consistent with the Tri-Agency Framework.~~

#### 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. In this Policy:~~

5.1.1 Agency means any one of the three agencies below listed under the definition of “Agencies” applicable to the situation, as it may arise.

5.1.2 Agencies means Canada’s three federal granting agencies: the Canadian Institutes of Health Research (CIHR); the Natural Sciences and Engineering Research Council of Canada (NSERC); and the Social Sciences and Humanities

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Research Council of Canada (SSHRC).

5.1.3. **Allegation** means a declaration, statement, or assertion communicated in writing to an institution or Agency to the effect that there has been, or continues to be, a breach of one or more Agency policies, the validity of which has not been established.

5.1.4. **Applicant (including co-applicant)** means an individual who has submitted an application, individually or as part of a group or team, for funding from the Agencies.

5.1.5. **Breach** means a failure to comply with this policy or the Tri-Agency Framework (as it is amended from time to time) throughout the life cycle of a research project – from application for funding, to the conduct of the research and the dissemination of research results. It includes all activities related to the research, including the management of Agency funds.

5.1.6. **Complainant** means an individual or representative from an organization who has notified the University or Agency of a potential Breach of policy.

5.1.7 **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.

5.1.8. **Inquiry** means the process of reviewing an allegation to determine whether the allegation is responsible, the particular policy or policies that may have been breached, and whether an investigation is warranted based on the information provided in the allegation.

5.1.9. **Investigation** means a systematic process, conducted by the University's Complaint Investigation Committee (CIC), of examining an allegation, collecting and examining the evidence related to the allegation, and making a decision as to whether a breach of a policy(ies) has occurred.

5.1.10 **Member(s) of the University** includes, but is 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.

5.1.11 **Research:** An undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation.

5.1.12 **Research Integrity** means 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, openness and principles outlined in the Tri-Agency Framework. The academic community advances the quest for knowledge and understanding in accord with these values.

5.1.13 **Respondent** means an individual who is identified in an allegation as having possibly Breached Agency and/or this policy.

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5.1.14 **University** means the University of Prince Edward Island.

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 Integrity in Research, Scholarly, and Creative Work

6.1 ~~6.1~~ Scholarly activity varies among the disciplines. It includes the actual conduct of research as well as publication of original work, artistic or engineering design, and performance in the arts or in professional areas.

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6.2 As a scholarly community, the University and Members of the University have a responsibility to maintain the highest standards of academic integrity and scholarship, specifically:

6.2.1 citing the contributions of others;

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6.2.2 obtaining permission to use the unpublished work of others and duly acknowledging the work;

6.2.3 respecting the privileged access to information or ideas obtained from confidential manuscripts or applications;

6.2.4 ensuring that primary data resulting from scholarly activity are ~~access~~ available for a reasonable period of time, except where such access could violate the anonymity of subjects or the confidentiality of data;

6.2.5 using all University and research resources responsibly, including support staff as well as funds, equipment, materials, and research subjects;

6.2.6 being rigorous in scholarly activity including experimental design and interpretation of research results.

6.3 The researcher is responsible for the safe storage of primary data resulting from scholarly activity. They will ensure that such material will be ~~access~~ available (except where such access could violate the anonymity of subjects or the confidentiality of data) for a period of five years unless a funding council or agency specifies a longer time.

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6.4 ~~Before~~ When a researcher leaves the University, they must arrange access and safe storage of records with their immediate supervisor.

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6.5 No Member of the University should exploit students. Specific examples of exploitation of students ~~would be~~ include, but are not limited to:

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~~6.5.1 engaging students to perform services not related to their program of study, or using human subjects in cases where individuals might reasonably fear that refusal would be detrimental to their interests;~~

~~6.5.2 failing to give proper recognition to the ideas, work or assistance of individuals or to obtain, where appropriate, prior permission for the use of work done;~~

~~6.5.3 encouraging graduate students to prolong research beyond the point necessary for successful completion of a thesis, and solely to where an acceptable thesis could be submitted, in order to further the interests of the faculty member.~~

~~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 University**

7.1 The ~~Institution~~ University 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 accordance with the highest standards of ~~r~~Research ~~i~~Integrity. ~~The Institution~~University is also responsible for:

7.1.1 Dealing expeditiously and fairly with any known instances or allegations of research misconduct; ~~and~~

7.1.2 Establishing a Standing Committee (the “Scholarly Integrity Committee” or “SIC”), elected by Senate, from which the Vice-President, Academic and Research, will draw when constituting a Complaint Investigation Committee (“CIC”) or performing an initial inquiry. –The SIC will consist of not less than seven faculty members and librarians ~~from different Faculties~~ elected by the Senate, but not necessarily from Senate. To ensure a diversity of view and backgrounds, no two members should be elected from the same Faculty. The chair will be elected from the committee membership, normally with a term of two years. ~~at least five persons elected by Senate for staggered three year terms such that they represent a diversity of views and backgrounds.~~–The SIC shall meet at least once per year to discuss any issues arising from this policy, and to recommend revisions of this policy when necessary.

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7.1.3~~2~~ Encouraging activities that support ~~r~~Research ~~i~~Integrity among ~~University Members~~Members of the University.

7.2 Under this policy, the Vice-President, ~~Research and Graduate Studies Academic and Research~~, is responsible for: such duties as set out under section 9.2 of this Policy and such further obligations as may arise under the Tri-Agency Framework, as it is amended from time to time.

~~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.~~

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## 8. Responsibilities of Members of the University

8.1 Ensuring adherence to conduct that maintains generally accepted standards of scholarly ~~conduct~~ integrity is the shared responsibility of all Members of the University.

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8.2 All Members of the University are required to cooperate in any ~~i~~Investigation process initiated under this Policy.



- 8.3 In creating an environment that respects ~~r~~Research ~~i~~ntegrity, ~~–~~Members of the University shall act in accord with the following set of principles: (which arise from the core values defined above):
- 8.3.1 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;
  - 8.3.2 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;
  - 8.3.3 Foster an environment of ~~r~~Research ~~i~~ntegrity, 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;
  - 8.3.4 Provide accurate and complete information in applications for research funding: Researchers should not misappropriate their identity and/or academic credentials. 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;
  - 8.3.5 Report ~~c~~onflicts of ~~i~~nterest and address them in an ethical manner: Personal and institutional ~~c~~onflicts of ~~i~~nterest, or the appearance of ~~C~~onflict of ~~I~~nterest, should be avoided. When unavoidable, each instance should be identified, disclosed, carefully examined, and ~~man~~aitigated in accordance with the University's Conflict of Interest Policy;
  - 8.3.6 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;
  - 8.3.7 Review the work of others with integrity: Individuals should engage in 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;
  - 8.3.8 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; standards.~~

8.3.9 Acknowledge all contributors and contributions in research: All persons who have made a substantial contribution to and take responsibility for some aspect of the research and scholarly work reported in a publication, ~~or~~ presentation or patent, should be acknowledged fairly and accurately. Further, all contributors should be made aware of a publication, ~~or~~ presentation, or patent bearing their names;

8.3.10 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, with permission obtained;

8.3.11 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 their competence and experience;

8.3.12 All Members of the University performing research at the University shall conscientiously supervise and train 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.

## 9. Addressing Allegations of Policy Breach

### 9.1 Allegations

9.1.1 Allegations of scholarly misconduct are submitted to the Vice President, Academic and Research, unless they involve the President (9.1.5) or the Vice President, Academic and Research VPAR (9.1.6). ~~and~~ They may be received from within or outside the University.

9.1.2 The ~~a~~ Allegation of scholarly misconduct must be formulated in writing and shall include evidence in sufficient detail to make clear the nature of the ~~research~~scholarly ~~activity~~activity which is regarded as being the subject of misconduct, together with a brief description of the facts, names of the ~~c~~Complainant(s) and ~~r~~Respondent(s), events and circumstances which describe the allegations.

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9.1.3 The investigative process will follow the principle to protect, to the extent possible, the individual making an allegation in good faith or providing information related to an allegation from reprisals in a manner consistent with relevant legislation.

9.1.4 An anonymous allegation may be considered only if accompanied by sufficient information to enable the assessment of the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the complainant.

9.1.5 Allegations shall be forwarded to the involving the President or Vice President, Academic and Research.

Where a Respondent is the President, allegations shall be forwarded to the Chair of the Board of Governors or their Designate. The Board Chair or their Designate who shall then be responsible for ensuring that these procedures are followed.

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9.1.6 Allegations involving the Where a Respondent is the Vice-President, - Academic and Research, - allegations shall be forwarded to the President or their Designate. The President or their Designate who shall then be responsible for ensuring that these procedures are followed.

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~~Where a Respondent is a graduate student, the Vice President, Academic and Research, will confidentially inform the appropriate Graduate Coordinator. In cases where a graduate student is a Complainant or where a graduate student's program may be affected by an allegation of misconduct, the Graduate Coordinator shall be informed by confidential memoranda of all assessments and investigations and the outcome thereof.~~

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## 9.2 Responsibilities of the Vice-President, Academic and Research

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~~9.2.1 The Vice-President, Academic and Research, shall be responsible for ensuring that the procedures in this document and in the Tri-Agency Framework are followed.~~

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~~9.2.2 Upon receipt of an allegation of scholarly misconduct, the Vice-President, Academic and Research, shall initiate an inquiry by member(s) of the SIC to establish whether a reasonable basis exists to proceed to an investigation. The results of the Inquiry will be reported back to the Vice-President, Academic and Research, who determines the next steps.~~

~~9.2.2 The Vice-President, Academic and Research, shall confidentially inform the Dean (or equivalent) of the Faculty or School of record of the Respondent and involve the Dean, as appropriate, in the Inquiry.~~

~~9.2.3 The Vice-President, Academic and Research, may, independently or at the Agency's request, in exceptional circumstances take immediate action to protect the administration of Agency funds if they conclude that the risk to the University is in some way untenable without action. Immediate actions could include freezing grant accounts, requiring a second authorized signature from an institutional representative on all expenses charged to the researcher's grant accounts, or other measures, as appropriate.~~

~~9.2.4 Where the allegation is related to conduct that occurred at another institution (whether as an employee, a student or in some other capacity), the Vice-President, Academic and Research, will contact the other institution and determine with that institution's designated point of contact which institution is best placed to conduct the inquiry and investigation, if warranted. The institution that receives the allegation must communicate to the Complainant which institution will be the point of contact for the allegation.~~

~~9.2.5 The Vice-President, Academic and Research, shall be responsible for ensuring that the procedures in this document and in the Tri-Agency Framework are followed.~~

~~9.2.56~~ The Vice-President, Academic and Research, shall provide affected parties s-with relevant information about the process and outcome of the ~~i~~nquiry and ~~i~~nvestigation.

~~9.2.67~~ Where the Vice-President, Academic and Research, may be in a real, potential or perceived conflict of interest, a designate shall be assigned to fulfill the responsibilities of the Vice-President, Academic and Research.

### 9.3 Inquiry

~~9.3.1~~ The SIC will receive the allegation (9.2.2) and then one or more members of the SIC, who are qualified to assess whether the allegation is responsible, conducts an initial ~~i~~nquiry ~~will~~ to assess whether there is sufficient merit for the ~~a~~llegation to be investigated, and reports back to the Vice-President, Academic and Research.

~~9.3.2~~ The initial inquiry process provides the ~~c~~omplainant and ~~R~~espondent with an opportunity to ~~b~~e heard as part of the ~~i~~nquiry, and an opportunity for the ~~R~~espondent to appeal if a breach of policy is confirmed.

~~9.3.3~~ The Inquiry may be conducted by one or more individuals who are qualified to assess whether the allegation is responsible.

~~9.3.4~~ The Vice President, Academic and Research, will consider the information gathered during the Inquiry, and any other factors that promote both fairness and the best interests of the University, before deciding to proceed to an Investigation.

~~9.3.35~~ The ~~i~~nquiry shall normally be completed within fifteen (15) days and will recommend rejection of the allegation if it meets any of the following criteria:

- (i) ~~—~~ Allegation was not made in good faith;
- (ii) ~~—~~ Allegation is not responsible, as per the Tri-Agency Framework; and/or
- (iii) ~~—~~ Allegation is regarding a matter being dealt with under another University policy or ~~procedure, or procedure, or~~ would be more appropriately directed to other bodies or offices to deal with aspects of the ~~a~~llegation that are beyond the scope of this policy.

~~9.3.4~~ The Vice-President, Academic and Research, will consider the information gathered during the ~~i~~nquiry and submitted in a report from the SIC, and any other factors that promote both fairness and the best interests of the University, before deciding to proceed to an ~~i~~nvestigation.

### 9.4 Investigation

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9.4.1 If a reasonable basis exists to proceed to an **i**nvestigation, then within fifteen (15) days of receipt of ~~an~~ the report from the SIC that the **a**llegation of possible scholarly misconduct is responsible, the Vice-President, Academic and Research, shall:

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(i) Inform the **c**omplainant and the **r**espondent of the procedures under this Policy;

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(ii) Send a copy of the **a**llegation to the **r**espondent and to the Dean (or equivalent) of the Faculty or School of record of the **r**espondent; and

(iii) Appoint a CIC to conduct an **i**nvestigation.

9.4.2 ~~In consultation with the Dean of the Faculty or School and the Chair of the SIC, a CIC will be established by the Vice-President, Academic and Research. The CIC will consist of three members reflecting a diversity of views and backgrounds and shall include members who have the necessary expertise, reflecting diversity of views and backgrounds, and who do not have a **c**onflict of **i**nterest, whether real or perceived. The CIC will consist of two (2) members from the SIC with the requisite knowledge to address the complaint and one (1) external member who has no current affiliation with the University.~~

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9.4.3 The CIC Chair will be the SIC member selected.

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9.4.4 The Vice-President, Academic and Research, shall immediately notify both the **r**espondent and **c**omplainant of the composition of the CIC.

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9.4.5 Any objection to the composition of the CIC on the part of the **r**espondent or **c**omplainant shall be made to the Vice-President, Academic and Research, within six (6) days. The disposition regarding any such objection and decision by the Vice-President, Academic and Research, ~~shall deal with disposition of any such objection, and their decision shall be final.~~

9.4.6 The CIC shall invite the **r**espondent, accompanied by an advisor if the **r**espondent so desires, to address the composition of the CIC prior to its seeking or obtaining any other information or submissions. Thereafter, the **r**espondent may attend other meetings of the Committee only by invitation of the Chair until the Committee has received all the information or submissions it deems appropriate.

9.4.7 The **r**espondent has the right to choose an advisor who may be a colleague, friend, legal counsel, or a person recommended by the appropriate union or association.

9.4.8 Prior to meeting to consider its decision, the CIC shall advise the **r**espondent of the evidence being considered by the CIC, and shall invite the **r**espondent.

accompanied by an advisor if the rRespondent so desires, to meet with it and to respond fully to that evidence.

9.4.9 Prior to receiving evidence from any person not already identified in the complaint or identified to the rRespondent during the assessment, the CIC shall advise that person that it is necessary in the interest of justice to reveal that person's identity to the rRespondent.

9.4.10 Once the CIC determines that it has collected all the relevant evidence for consideration, the draft summary of evidence will be provided to the Rrespondent and the rRespondent shall be invited to respond fully to that evidence, declaring factual errors and omissions. The CIC shall invite the rRespondent (accompanied by an advisor if the rRespondent so chooses) to provide this response during an in-person meeting, but the rRespondent may alternatively elect to respond in writing.

9.4.11 Within thirty (30) days of being appointed, the CIC shall complete its iInvestigation, and shall submit an Investigation Report to the Vice-President, Academic and Research. Under exceptional circumstances, the 30-day period may be exceeded, in which case the CIC shall immediately inform the Vice-President, Academic and Research as to the reason(s) for the delay.

9.4.12 The Investigation Report shall include:

- (i) details of the aAllegation;
- (ii) a summary of the iInvestigation process, including individuals interviewed and evidence obtained;
- (iii) written responses from the rRespondent (if any);
- (iv) a determination of whether there has been a bBreach of this Ppolicy;
- (v) reason(s) for any delay in the pProcedures; and
- (vi) the CIC's reasoned decision regarding the investigation:

a) that the Respondent is not guilty of any misconduct and the matter is dismissed; or

b) that the aAllegation is substantiated in whole or in part.

9.4.13 The report must be supported by a CIC majority. If the CIC is unable to reach a majority decision, the CIC Chair may submit an advisory recommendation to the Vice-President, Academic and Research, of the next course of action to reach a decision. Options may include, but are not limited to, initiating a new

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~~iInvestigation with an entirely new CIC or abandoning the iInvestigation. The CIC Chair's recommendation to the Vice-President, Academic and Research, is advisory.~~

9.4.14 The Vice-President, Academic and Research, shall forward the Investigation Report to the Respondent, and the Dean (or equivalent) of the Faculty or School of record of the rRespondent.

9.4.15 A version of the Investigation Report may be partially redacted (in accordance with applicable privacy legislation and procedures) if required to protect confidentiality and identity of persons involved in the iInvestigation.

9.4.16 The Vice-President, Academic and Research, shall, upon receiving the Investigation Report, make a recommendation to the President or dDesignate as to whether formal disciplinary action is recommended in accordance with the applicable collective agreement and/or employment contract, where one exists, and taking into consideration contractual and other obligations to external organizations within five (5) days. If the Vice-President, Academic and Research, accepts the advice of the CIC to dismiss the aAllegation, the Vice-President, Academic and Research, shall so advise any person identified in the aAllegation, the rRespondent and the President. Otherwise the notification requirements of the applicable collective agreement and/or employment contract, where one exists, shall be followed.

9.4.17 Timeline extension under section 9.4 may be granted at the discretion of the Vice-President, Academic and Research, if deemed to support a fair and rigorous process and when those affected by the aAllegation(s) will not be unduly prejudiced.

9.4.18 For Allegations determined to be unfounded, every effort will be made by the University to protect or restore the reputation of those wrongly subjected to an unfounded aAllegation.

## 9.5 Appeal

9.5.1 If the Respondent disagrees with the disposition or the investigative process, the Respondent may appeal the decision of the Vice-President, Academic and Research by filing a written notice of appeal and statement of appeal to the President or Designate within thirty (30) days of the delivery of the decision.  
~~The Respondent may appeal the decision of the Vice-President, Academic and Research by filing a written notice of appeal and statement of appeal to the President or Designate within thirty (30) days of the delivery of the decision.~~

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~~9.5.2 Grounds for appeal shall be limited to purported violations of procedural fairness by the CIC, if a breach of policy is confirmed, or that the Vice President, Academic and Research, lacked jurisdiction to render a decision.~~

~~9.5.3 The President or dDesignate will review the Investigation Report and written statement of appeal, and determine whether or not the grounds for appeal are valid. The President or dDesignate will rule on the appeal within fifteen (15) days of its submission.~~

~~9.5.43 Should the President or dDesignate determine there are no valid grounds for the appeal, it shall be dismissed.~~

~~9.5.54 Should the President or dDesignate determine there are valid grounds for the appeal, the President or dDesignate shall inform the cComplainant(s) and cRespondent(s) that an Ad-Hoc Appeals Committee shall be constituted in the same fashion as the CIC, except that the members shall not have been members of the CIC.~~

~~9.5.65 The Ad-Hoc Appeals Committee shall conduct its task in the same manner as the CIC, except that the decision shall be made in writing to the President or dDesignate.~~

~~9.5.76 The President or dDesignate shall, upon receipt of the report of the Ad-Hoc Appeals Committee, decide whether or not the formal disciplinary action recommended by the Vice-President, Academic and Research, is to be overturned, upheld or otherwise modified. If the President or dDesignate accepts the advice of the Ad-Hoc Appeals Committee to overturn or modify the sanctions, the President or dDesignate shall so advise any person identified in the complaint, the rRespondent and the Vice-President, Academic and Research.~~

## 9.6 Notification of Funding Agencies and Research Collaborators

~~9.6.1 The Vice-President, Academic and Research, shall advise the relevant Tri-Council Agency if the aAllegation is substantiated, and is related to activities funded by a Tri-Council Agency that may involve significant financial, health and safety, or other risks. The notification will include the name of the rRespondent and the nature of the misconduct.~~

## 10. 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~~

10.1 All parties involved in a complaint Investigation with respect to Research Integrity shall ~~protect the confidentiality of information regarding a potential violation of this Policy to the fullest extent~~ fully protect the confidentiality of information regarding a potential violation of this Policy possible. The University's commitment to protecting personal information and privacy is outlined in its *Access to Information and Protection of Personal Information and Privacy* policy.

10.2 If the ~~a~~ Allegation is substantiated, the University reserves the right to use or disclose information in accordance with the Tri-Agency Framework, that may include disclosing the discipline, if any, imposed on Members of the University.

10.3 Until an ~~a~~ Allegation is substantiated, all proceedings take place in the strictest confidentiality.

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## 119. **Education**

~~9~~11.1 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/or research ethics training for Members of the University through the Office of Research Services, members along with orientation for those members who are new to the University.

## 120. **Implementation**~~Retention of Documentation~~

120.1 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. The process and its outcomes shall be fully documented, and those records must be retained as a confidential file in the Office of the Vice-President, Academic and Research, for a period of ten (10) years following the disposition of a complaint.

~~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.

### 13. Responsibility

13.1 The Senate is responsible for establishment and amendment of this policy.

13.2 The Vice-President, Academic and Research, is responsible for the administration of this policy.

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13.3 Approval and implementation of any changes in the policy and procedures are to be carried out in accordance with the provisions of applicable collective agreements.

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13.4 This policy will be reviewed every five (5) years. The review shall be initiated by the Vice-President, Academic and Research.

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*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](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](http://www.scienceadvice.ca/en/assessments/completed/research_integrity.aspx)

3. Research Integrity Policy. 2010. University of Saskatchewan.  
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4. Tri Agency Framework: Responsible Conduct of Research. 2011. Government of Canada.  
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