



PACIFIC COAST UNIVERSITY
FOR WORKPLACE HEALTH SCIENCES

Integrity in Research and Scholarship (Research Ethics Committee)- Policy 070

Policy Statement

This policy applies to all research, scholarship and creative work conducted under the auspices or jurisdiction of Pacific Coast University for Workplace Health Sciences.

The policy defines and outlines the Research Integrity principles and processes in place in PCU-WHS to address allegations of policy breaches by researchers. The policy is intended to protect a respondent's entitlement to a just and fair investigation of any complaint.

Researchers' Responsibilities

At a minimum, researchers are responsible for the following:

Using a high level of rigour in proposing and performing research; in recording, analysing, and interpreting data; and in reporting and publishing data and findings.

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

Referencing and, where applicable, obtaining permission for the use of all published and unpublished work, including data, source material, methodologies, findings, graphs and images.

Including as authors, with their consent, all those and only those who have materially or conceptually contributed to, and share responsibility for, the contents of the publication or document, in a manner consistent with their respective contributions, and authorship policies of relevant publications.

Acknowledging, in addition to authors, all contributors and contributions to research, including writers, funders, sponsors and the University.

Appropriately managing any real, potential or perceived conflict of interest, in accordance with the university's policy on conflict of interest.

Complying with all applicable Agency requirements and legislation for the conduct of research, including, but not limited to:

Second Edition of the Tri-Council Policy Statement: Ethical Conduct of Research involving Humans;
Canadian Council on Animal Care Policies and Guidelines;
Agency policies related to the Canadian Environmental Assessment Act;
Licenses for research in the field;
Laboratory Biosafety Guidelines;
Controlled Goods Program;
Canadian Nuclear Safety Commission Regulations; and
Canada's Food and Drugs Act.



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Related Policy

Conflict of Interest Research Policy PCU Conflict of Interest Policy

Policy on Misconduct of Academic Teaching and Research Staff Procedures for the Investigation of Misconduct
Policy on Research Involving Humans

Definitions

Allegation: information in any format relating to possible misconduct in scholarly activity.

Agency: one of the three federal granting agencies (i.e. Canadian Institute for Health Research (CIHR), Natural Sciences and Engineering Research Council (NSERC) and Social Sciences and Humanities Research Council (SSHRC)) or any equivalent agency or organization.

Complainant: a person or group of persons who allege(s) misconduct by another or by others.

Complaint: A written allegation pertaining to the breach of this policy.

Conflict of Interest in Research: Conflict of Interest may occur when activities or situations place an individual or individuals in real, perceived or potential conflict between duties or responsibilities related to research and personal, University or other interests. These may include but are not limited to financial interests, whether of self, family, friends, or of the University itself. In the latter case, this conflict is sometimes referred to as **a conflict of commitment** where the conflict that arises may be perceived to be between principles of research integrity and the purposes of the University. Particularly, with respect to human participant research, prospective participants need to know that the University seriously monitors real, potential or perceived conflict of interest responsibly. The oversight committee for research ethics review also monitors conflict of interest at the time of ethics approval as well as throughout the research inquiry and production of scholarly outputs.

Academic Teaching and Research Staff: All people qualified to hold or participate in research according to the tri-council guidelines. This policy also covers other academic teaching and research staff who undertake other forms of research in addition to that which is funded by the federal granting agencies.

Inquiry: the informal process of gathering information for the sole purpose of determining whether or not a complaint warrants investigation (See the policy and procedures for the investigation of potential misconduct).

Investigation: the more formal procedure followed once an inquiry has concluded that a complaint has sufficient foundation to warrant examination and evaluation of relevant facts to determine whether or not a complaint is substantiated.

Respondent: a person or group of persons who respond(s) to a complaint of misconduct.

Breaches of Research Integrity: Breaches of Research Integrity include but are not limited to the following:

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



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Falsification: The intentional manipulating, changing, or omission of data, source material, methodologies or findings, including graphs and images, without acknowledgement and which results in inaccurate findings or conclusions.

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

Plagiarism: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate referencing or citation and, if required, without permission.

Redundant publications: The re-publication of one's own previously published work or part thereof, or data, in the same or another language, without adequate acknowledgment of the source, or justification.

Invalid authorship: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, or agreeing to be listed as author to a publication for which one made little or no material contribution.

Inadequate acknowledgement: Failure to appropriately recognize contributions of others in a manner consistent with their respective contributions and authorship policies of relevant publications.

Mismanagement of Conflict of Interest: Failure to appropriately manage any real, potential or perceived conflict of interest, in accordance with the Pacific Coast University for Workplace Health Sciences' **policy on conflict of interest in research and general policy on conflict of interest**, preventing one or more of the following objectives from being met:

ensure that the funding decisions made by the Agencies are based on accurate and reliable information; ensure public funds for research are used responsibly and in accordance with funding agreements; promote and protect the quality, accuracy, and reliability of research funded by the Agencies; and promote fairness in the conduct of research and in the process for addressing allegations of policy breaches.

Misrepresentation in an Application or Related Document: Applying for and/or holding an award when deemed ineligible by the Tri-Council or any other research funding organization for reasons of breach of responsible conduct policies; and/or listing individuals on an application without their agreement.

Procedures

Receiving Allegations

All confidential enquiries, allegations of breaches of policies, and information related to allegations shall be directed to the Senior Academic Officer in writing.

Anonymous allegations of breaches of this policy shall be reviewed by Senior Academic Officer, but shall not, in and of themselves, constitute the basis of a formal investigation.

Pacific Coast University for Workplace Health Sciences shall 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 all relevant legislation and Pacific Coast University for Workplace Health Science policies.

Pacific Coast University for Workplace Health Sciences may independently, or at the Agency's request in exceptional circumstances, take immediate action to protect the administration of Agency funds. 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.



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Confidentiality

In the administration of this policy all parties shall protect the privacy of the complainant(s) and respondent(s) as far as is reasonably possible while allowing for the full and fair investigation of any given complaint.

Investigating Allegations

The Procedures for the Investigation of Misconduct shall be complied with in the investigations of allegations.

Reporting Requirements

Subject to any applicable laws, including privacy laws, Pacific Coast University for Workplace Health Sciences shall advise the relevant Agency or Secretariat on Responsible Conduct of Research (SRCR) immediately of any allegations related to activities funded by the Agency that may involve significant financial, health and safety, or any other matter of research integrity covered by this policy.¹

Pacific Coast University for Workplace Health Sciences shall write a letter to the SRCR confirming whether or not it is proceeding with an investigation where the SRCR was copied on the allegation or advised as per Section C below. If a breach is confirmed at the inquiry stage, reporting requirements outlined in Section C apply.

Pacific Coast University for Workplace Health Sciences shall prepare a report for the SRCR on each investigation it conducts in response to an allegation of policy breaches related to a funding application submitted to an Agency or to an activity funded by an Agency. Subject to any applicable laws, including privacy laws, each report shall include the following information:

- the specific allegation(s), a summary of the finding(s) and reasons for the finding(s);
- the process and time lines followed for the inquiry and/or investigation;
- the researcher's response to the allegation, investigation and findings, and any measures the researcher has taken to rectify the breach; and the institutional investigation committee's decisions and recommendations and actions taken by the University.

Pacific Coast University for Workplace Health Sciences' report shall not include: information that is not related specifically to Agency funding and policies; or personal information about the researcher, or any other person, that is not material to the Institution's findings and its report to the SRCR.

Inquiry letters and investigation reports should be submitted to the SRCR within two and seven months, respectively, of receipt of the allegation by the Institution. These timelines may be extended in consultation with the SRCR if circumstances warrant, and with monthly updates provided to the Agency until the investigation is complete.

Pacific Coast University for Workplace Health Sciences and the researcher(s) may not enter into confidentiality agreements or other agreements related to an inquiry or investigation that prevents the University from reporting to the Agencies through the SRCR.

In cases where the source of funding is unclear, the SRCR reserves the right to request information and reports from the University.

¹ <http://www.rcr.ethics.gc.ca/eng/srcr-scr/r/tor-cdr/>



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Recourse

Researchers who are found to be in violation of this policy are subject to discipline. Such discipline shall take into account the severity of the breach and shall be in accordance with the University's policies and procedures.

Accountability

Where a breach of policy is identified it is the responsibility of the Senior Academic Officer and the researcher to cooperatively inform all affected parties, in a timely manner, of the decision reached by the investigation committee and of any recourse to be taken by the University. All such actions shall take into account applicable privacy laws and regulations.

Where allegations are determined to be unfounded the Senior Academic Officer and the President, in consultation with the respondent, shall make every reasonable effort to protect or restore the reputation of those wrongly subjected to an allegation.

Promoting Awareness and Education

Pacific Coast University for Workplace Health Sciences is responsible for:

Promoting awareness of what constitutes the responsible conduct of research, including Agency requirements as set out in Pacific Coast University for Workplace Health Sciences' policies, the consequences of failing to meet them, as well as the process for addressing allegations, to all those engaged in research activities at the University.

Communicating this policy on the responsible conduct of research within the University and making public statistical annual reports on confirmed findings of breaches of that policy and actions taken, subject to applicable laws, including the privacy laws.

Communicating within the University, the role of the Senior Academic Officer as central point of contact responsible for receiving confidential enquiries, allegations and information related to allegations of breaches of Agency policies.

Approval and Responsibility

Approved by: Board of Governors, March 27, 2012.
Approved by: Academic Council, April 12, 2012.
Revised: June 18, 2014; June 8, 2016
Responsibility: President