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## **Research and Scholarship Integrity Policy**

<b>Office of Accountability:</b>	Provost and Vice-President (Academic) and Vice-President (Research & Innovation)
<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	Board of Governors (Board Learning, Research and Student Experience Committee)
<b>Scope:</b>	Compliance with University policy extends to all members of the University community.

### Overview

Research is a cornerstone of advancement in arts, humanities, sciences, and professions.

Excellence in research and scholarship depends on the creativity, hard work and dedication of its practitioners. It also depends on integrity. Dishonesty and fabrication fundamentally undermine the worth and usefulness of research and other scholarly work.

Even when untainted by fraud, scholarly work must meet other standards of ethics and integrity. Discoveries obtained through deceit, that disregard proper attribution of source material or the contributions of others, or that involve the violation or disregard of others' rights, are antithetical to basic professional and scholarly values. Breaches of integrity also offend society. Society places a trust in university scholars and researchers not only to pursue knowledge, but to do so in a manner that respects and promotes fundamental values of honesty, fairness, beneficence and freedom from exploitation.

The University of Alberta is committed to ensuring the highest standards of practice and behaviour in research and scholarship integrity. The University of Alberta complies with the *Tri-Council Policy Statement: Integrity in Research and Scholarship*; *Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management of Federal Grants and Awards* and, where applicable, the regulations and guidelines of any other funding agencies (e.g. The U.S. Department of Health and Human Services – Office of Research Integrity).

This policy and its related procedures are to be read as consistent with, and complementary to, University of Alberta collective agreements and other University of Alberta policies and procedures.

### Purpose

To promote the highest standards of practice and behaviour in research and scholarship.

To establish the nature of these expected standards, and to identify instances when these standards have been violated.

## **POLICY**

### 1. GENERAL PRINCIPLE

The University of Alberta is dedicated to promoting the highest standards of research and scholarship integrity and

accepts its responsibility to investigate all allegations of misconduct in research and scholarship and to impose discipline where warranted.

## 2. RESPONSIBILITIES OF RESEARCHERS AND SCHOLARS

- a. University of Alberta **researchers and scholars** are responsible for the integrity of their work and for upholding the principles of this policy.
- b. Instances where students do not follow the requirements set out in this policy and its related procedure and appendices shall be addressed through the Student Conduct Policy and/or the Student Academic Integrity Policy.

## 3. RESPONSIBILITY OF THE **PRINCIPAL INVESTIGATOR**

- a. Principal Investigators shall be involved both with the research design and with the supervision of research work, such as data acquisition, recording, analysis, interpretation, and storage.
- b. Principal investigators have the further responsibility for the research activities conducted by their students, research staff, and collaborators.
- c. Principal Investigators shall retain original data for a minimum of 5 years after the work is published, or such period as required by funding agencies, or by University of Alberta policies respecting information and records management.

## 4. THE FUNDAMENTAL PRINCIPLES of research and scholarly integrity include the obligation on the part of researchers

- a. To apply standards of honesty and of scholarly and scientific practice in the collection, recording and analysis of data, whether quantitative or qualitative, and other information and in the dissemination of information, findings, and discoveries.
- b. To observe ethical standards for the treatment of human and animal research participants and to obtain approval from the appropriate ethics review committee before research commences.
- c. To include as authors all persons and only those persons who made substantive scholarly or scientific contributions and who share responsibility for the final work intended for **publication**.
- d. To ensure that all co-authors of a work are aware of their responsibilities as co-authors, and to obtain the approval of all co-authors of the **final content** of the work intended for publication. Where the work arises from the thesis of a graduate student, the additional policies of the Faculty of Graduate Studies and Research shall apply.
- e. To recognize and acknowledge the contribution of all other collaborators.
- f. To acknowledge the prior art, intellectual property of others (including copyrights and patents); to cite appropriately the work of others; to use their writings, discoveries, findings, conceptual developments, unique methods and data with proper attribution.
- g. To obtain the permission of others to use their unpublished findings and works, and to acknowledge such sources in an appropriate manner.
- h. To obtain the permission of others before using information, concepts or data originally obtained through confidential exchanges or through access to confidential manuscripts or funding applications.
- i. To comply with the regulations governing source when gaining access to use private or confidential materials and information.
- j. To avoid conflicts of interest and commitment and the real or perceived bias that may arise from such conflicts; and to reveal to sponsors, universities, journals and funding agencies, any material conflicts of interest and commitment

that might influence decisions on whether the individual should be asked to review manuscripts or applications, to test products, or to be permitted to undertake work sponsored from outside sources.

k. To manage appropriately all funds in accordance with University policy and within the context of accurate accounting and administrative systems developed by the University for the administration of research funds.

l. To abide by any other principles adopted under the Discipline Specific Research and Scholarship Integrity Procedure, or other university policy.

#### 5. MISCONDUCT IN RESEARCH SCHOLARSHIP

a. Failure to adhere to the responsibilities and principles contained in this Policy constitutes misconduct.

b. Any person who takes action to the detriment of, or retaliates in any manner against, a person who reports research or scholarship misconduct except in accordance with the procedures published with this policy, commits misconduct.

c. Any person who reports research or scholarship misconduct who did not have reasonable and probable grounds to believe that misconduct occurred, or did not believe misconduct had occurred, commits misconduct.

d. Any failure to maintain the principles of confidentiality and document management contained in the Research and Scholarship Integrity Enforcement Procedure constitutes misconduct.

#### **DEFINITIONS**

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
<b>Researchers and Scholars</b>	Includes all members of the University who are involved, directly or indirectly, to any extent whatsoever, in research and other scholarly and creative activities.
<b>Principal Investigator</b>	The person on a research proposal, application, agreement, contract or award responsible for the conduct of the research project.
<b>Publication</b>	All means of dissemination of research and other scholarly information, and includes all means of transmitting research and other scholarly information.
<b>Final Content</b>	The copy accepted for publication

#### **PUBLISHED PROCEDURES OF THIS POLICY**

[Discipline Specific Research and Scholarship Integrity Procedure](#)

[Research and Scholarship Integrity Enforcement Procedure](#)

[Research and Scholarship Integrity Policy Appendix A: Adjudicator and Associate Adjudicator Table](#)

#### **RELATED POLICY DOCUMENTS (UAPPOL)**

[Animal Ethics Policy](#) (UAPPOL)

[Conflict Policy - Conflict of Interest and Commitment, and Institutional Conflict](#) (UAPPOL)

[Ethical Conduct and Safe Disclosure Policy \(UAPPOL\)](#)

[Fraud and Irregularity Policy](#)

[Human Research Ethics Policy](#)

[Student Academic Integrity Policy](#)

[Student Conduct Policy](#)

## **RELATED LINKS**

[Agreement on the Administration of Agency Grants and Awards by Research Institutions \(Government of Canada\)](#)

[Office of Research Integrity \(US Department of Health and Human Services\)](#)

[Research Ethics Office \(University of Alberta\)](#)

[Tri-Council Policy Statement: Integrity in Research and Scholarship; Memorandum of Understanding \(MOU\) on the Roles and Responsibilities in the Management of Federal Grants and Awards](#)

[Tri-Council Policy Statement 2: Ethical Conduct for Research Involving Humans \(Government of Canada\)](#)

*For questions surrounding policy document interpretation or implementation,  
please contact the Office of Administrative Responsibility.*

*For the most recent version of this document, please visit <https://www.ualberta.ca/policies-procedures/index.html>*