

**DATA LINK INSTITUTE  
OF BUSINESS AND TECHNOLOGY  
(DLIBT)**



**ETHICS POLICY**

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## **1.0 PREAMBLE**

This Code is designed as a handbook to guide all Datalink Institute of Business and Technology members (members of the DLIBT Council, administrators, staff, faculty and students) on appropriate behaviour in relation to the Institute.

The Code sets forth standards for good academic conduct. General ideals and principles that to inform our understanding of the prevailing values and standards which result in an expected way of acting. These principles offer us general terms and criteria for discussing such ethical issues as treatment of research subjects or conflicts of commitment and interest. There may be clear agreement on some of these issues; some are evolving toward a consensus; and others remain in a state of perpetual evolution.

For those principles on which there is clear agreement, specific rules have been developed. For example, we must not use illegally or cheat or misappropriate funds; we must disclose real or potential conflicts of commitment and conflicts of material financial interest. Some of these rules have been clearly articulated in official documents of the Institute. Whether any violation of such rules constitutes serious professional misconduct and is subject to discipline must be determined on a case by case basis. In cases where the question of what is or is not unethical conduct is less clear, general ideas and principles in this Code may inform our understanding of the rules but must not in themselves be the subject of disciplinary action or sanctions.

This Code does not stand on its own. Members of the Institute are already guided by a number of other codes, Statutes, policies and directives which set forth standards of good conduct. The Code recognizes their importance and does not supersede them. These other codes and policies, which already possess some measure of authority, include:

- a. DLIBT Statutes
- b. HR Service Conditions and Policies
- c. Academic and Research Manual
- d. Faculty Manual

e. Student Handbook

The Institute members are directed to examine relevant aspects for information that is specific to them and, in particular, when the question of disciplinary procedures arises. The Institute members who may belong to unions shall be governed by the procedural and substantive provisions set out in the relevant collective agreement while Institute members who do not belong to unions shall be governed by the procedures and substantive provisions set out in this Code.

Ethical issues may arise in many different forms: as unrealized ideals we seek to achieve, as conflicts we seek to mediate, as dilemmas we seek to understand and manage, as questionable behaviour we may seek to limit and correct, and as misconduct we seek to stop and punish. Ethical codes are inadequate if they only attempt to police misconduct and do not help us act responsively and responsibly in relation to less dramatic situations. This Code is designed to foster and not suppress discussions and conversations about ethical concerns, especially about the wide variety which call for debate, deliberation and judgement.

## **2.0 INTRODUCTION**

The six principles which govern this Code of Ethics are the pursuit of knowledge and truth, academic freedom, collegiality, accountability, justice, and integrity. The standards and processes spelled out in this Code attempt to embody and give life to these principles. In turn, these standards and processes will foster responsible ethical behaviour to the extent that we commit ourselves to these principles.

### **2.1 The Pursuit of Knowledge and Truth.**

First, Data Link Institute of Business and Technology, like all universities, is committed to the pursuit of knowledge and truth. We do this in several ways. Through scholarly inquiry, we seek to know more about the world, to discover new truths, and to uncover and correct misconceptions. Through instruction and classroom discussion, we seek to establish a culture of learning, to overcome ignorance, to foster a rigorous examination of ideas, and to transmit knowledge. Because the commitment to truth and knowledge is so fundamental to our task, the Institute abhors conscious acts of deceit, particularly in academic activities. While disciplinary

decisions must be made on a case by case basis, plagiarism, cheating, fabrication and forgery are generally treated as grave offenses. Even when these acts of deceit do not cause extensive material damage, they attack core of the Institute and undermine its public credibility.

## **2.2. Academic Freedom.**

Second, we are committed to academic freedom. We seek to promote those activities that provide opportunities for people to pursue their academic objectives - their research, teaching, education and scholarship. Academic freedom mandates us to protect these activities so that they are not interfered with. Traditionally, academic freedom gives faculty to communicate openly in their teaching and scholarship, offer constructive feedback in the Institute and public debates without censorship. The Institute members ought to be able to communicate informed views and feedbacks based on their learning and study without being censored. Academic freedom also implies academic responsibility: respect for the rights of others to express their opinions, fairness in expounding differing points of view, and the encouragement of critical thinking.

## **2.3 Collegiality**

Third, collegiality is integral to our identity as an Institute. Because of our commitment to collegial decision making, we make our basic organizational decisions through representative collegial bodies, such as departments, and a DLIBT Council, as well as through faculty, staff and student associations. Collegiality also deeply and extensively influences activities of Board members, administrators, managers, faculty, staff and students. It fosters lively discussion, good questions, and constructive feedback. We collaborate when it is useful, and hold each other accountable for our work, whether it be academic or non-academic. The extent to which we are able to promote responsible - even exemplary - conduct depends in large part upon our capacity to foster a lively sense of collegiality.

## **2.4 Accountability**

Fourth, the concept of accountability contains within it a normal and regular process of review and evaluation on the part of all members of the Institute community. In a collegial organization, the Administration, as well as the DLIBT Council, is accountable to the Institute community. This requires that budgeting and administrative decision-making must be consultative and

transparent. Faculty and staff and others covered by collective agreements are accountable for the performance of their duties and responsibilities as defined in the relevant collective agreements. Students are accountable for the obligations enjoined upon them in the Institute Calendar. All members of the Institute community are accountable for their conduct towards one another.

## **2.5 Justice**

Fifth, we are committed to justice. This commitment assumes several forms in relation to Institute concerns. The principle of natural justice calls for respect for persons and their fair and equitable treatment. We are led by our commitment to justice to insist upon procedural justice in adjudicating disputes and negotiating agreements. These include commitments to due process, the right to proper notice, the right to represent one's own views and to question those who accuse us, the right to see and hear evidence against oneself with a reasonable time to respond, and the right to receive reasoned and timely judgments of complaints and disputes.

## **2.6 Integrity**

Sixth, we are committed to individual integrity. This means that we should exercise good judgement, act without deceit, be committed to and accountable for the primary functions that are associated with our various position(s) and role(s) and be guided by our informed consciences. The chapter on Academic Integrity (Chapter 1) deals with ethical guidelines related to learning and collegiality. Research Integrity (Chapter 2) concerns the ethical guidelines that should guide our research, scholarship and creative activity. Administrative Integrity (Chapter 3) deals with the ethical guidelines associated with the carrying out of our responsibilities and duties in the governance of the Institute. Chapters four and five discuss ethical guidelines related specifically to issues of conflict of interest.

# **3.0 ACADEMIC INTEGRITY**

## **3.1 Academic Work**

The Institute fosters academic work, which involves education, learning, scholarship, scientific and artistic creation, as well as, collegial activities and professional services. Full-time faculty are expected to contribute in all these ways, and in consultation with their chairs (or deans), determine the time they will devote to each type of academic work. Many other Institute members support rather than directly participate in academic work. Others engage in some, but not other, aspects of it.

### **3.2. Educational Responsibilities**

Good education is gauged by the quality and quantity of learning that takes place among those participating in Institute activities. Faculty and students are expected to devote their energies conscientiously to develop their competence, their effectiveness as teachers and students, and their ability to learn.

### **3.3. Faculty**

Faculty are expected to be conscientious in carrying out their teaching responsibility which, in general, includes the preparation, organization and presentation of course materials at scheduled class times, and availability to students outside of class hours, curriculum development and preparation of course material for student use, and the direction and evaluation of student progress in courses, research, thesis and practical work (including marking and timely submission of grades). Faculty have a responsibility to provide the opportunity for student input on the quality of courses and teaching.

Faculty should encourage the free exchange of ideas among themselves and between themselves and students at appropriate times in order to foster good academic experience. These exchanges must be governed by standards of fairness.

### **3.4. Students**

Students are expected to be conscientious in all their work and activities, in exercising their rights, and in providing useful input for the faculty on the quality of courses and teaching. Students own their intellectual work to the degree of their own contributions; however, they should not restrict access to data and acknowledge those who helped create it.



### 3.5. Others

Members of the DLIBT Council, administrators, managers and staff are expected to be conscientious in carrying out their responsibilities and in facilitating and fostering the academic mission of the Institute.

### **3.6. Supervisory Relationships**

Certain obligations and responsibilities are assumed by those who enter into supervisory relationships. Faculty are expected to communicate clearly what is expected of students, to be available periodically for consultations, to instruct students and foster their learning, and to provide reasoned evaluations of their work. Students in turn are expected to perform their work conscientiously and to seek counsel and feedback of their work. Whenever students are invited to work on research projects, they should be fully informed as to the purposes of the projects and the expectations as to their general duties and responsibilities in the context of these projects. Because projects frequently undergo evolutionary changes in the course of time, it is essential that there should be a clarification of the roles as appropriate. The same general rules should apply in the matter of the supervisory relationship between faculty and teaching assistants, in order that from the onset, the duties and responsibilities of one to the other be clear. Technicians function in an intermediary position: subject to direction and supervision by faculty and, in turn, providing supervision of students. Technicians must be conscientious in their sense of responsibilities as well as in the performance of their duties.

### **3.7. Collegial Responsibility**

All Institute members are expected to act collegially. We are expected to be good citizens of the Institute, to take good care of the resources entrusted to us, to act civilly towards other Institute members (to foster the academic culture), and to support the Institute and its work by our

presence and efforts. Collegiality does not presume homogeneity of views or the absence of strong feedback. It does entail mutual respect for the right of the other party to express his or her point of view.

### **3.8. Confidentiality**

Information meant to be confidential must be treated as such by members of the DLIBT Council, administrators, managers, faculty, students and staff. The injunction to confidentiality should not preclude the use of information in grievances or initiatives such as salary equity studies. Judgement and scrupulosity must be exercised as to the openness of confidential information when it is transferred from one context to another.

### **3.9. Participation in Institute Life.**

As faculty, administrators, students and staff, we have the right and the responsibility to participate conscientiously in the governance and administration of the Institute, through membership in committees and organizations at the Board, Senate, Faculty and Departmental levels. We are committed to openness in all these institutional deliberations. We are expected to be available and accessible to foster academic discourse. Members of the DLIBT Council are expected to become familiar with the academic life of the Institute so as to become informed members of the Institute community. Line administrators are expected to keep in touch with academic life by their own involvement in such activities as teaching and/or research.

### **3.10 Safety.**

The Institute has an obligation to provide safe conditions for the work of its members. It must take effective steps to prevent unreasonable disruptions of the work place. In addition, Institute members are jointly responsible for promoting safe conditions for their work in classrooms, laboratories, studios, sports arenas and elsewhere. Due care must be exercised when working with hazardous materials. It is our responsibility to address this concern both by counselling

people to exercise care, training by calling attention to, and rectifying, conditions that seems unsafe or risky.

#### **4.0 INTEGRITY IN RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY**

Students, faculty, administrators and staff are directly engaged in activities aimed at enhancing research, scholarship, and creative work, and their own corresponding skills. The specific rules on integrity in research, scholarship and creative activity which apply to all members of the Institute community who engage in research are listed in the box below. Some general ideas and broad principles which underlie these rules are expounded after the box.

**Authorship:** Members shall recognize and include as authors only those who have made a substantive intellectual contribution to the work in question.

Intellectual misconduct in academic research and scholarship is defined as:

- a. fabrication, falsification, or plagiarism;
- b. failure to recognize by authorship or due acknowledgement the substantive contributions of others, including students; or using new information, concepts or data obtained through access to confidential manuscripts or applications for funds for research or training or that may have been seen as a result of processes such as peer review; or using archival material in violation of the rules of the archival source;
- c. failure to comply with relevant federal and provincial statutes and regulations as well as Institute regulations for the protection of researchers, human subjects, or the health and

safety of the public or failure to meet other legal requirements that relate to the conduct of research.

Misconduct in research and scholarship does not include those factors intrinsic to the process of academic research, such as honest error, conflicting data, or differences in interpretation or judgement of data or of experimental design.

In our role as researchers, we collect data, some of which we use to write articles, books and reports. It is a noteworthy scholarly achievement to create usable data. While formal title to the data may be vested in the name of a specific researcher, everyone who intellectually contributed to its generation should have access to it and acknowledge. Proprietary claims which researchers possess with respect to data are not unlimited. For example, if after publication, we are challenged by other researchers, we should allow the challengers to examine our data in order to verify the reliability and validity of our readings and interpretations. In addition, whenever possible, collegiality ought to foster professional collaboration and limit restrictive hoarding of data or novel research instruments.

As members of the Institute community, we are expected to produce our own work and to represent as our own only what we ourselves have produced. In our scholarship and creative work, we are expected to give due credit whenever we consciously use the words and phrases, visual and oral composition, expressions and formulations of others, either by direct citation, replication or paraphrasing. This standard applies whether the originals were published or not. Whenever we are called upon to present our own work after participating in study or research teams, we should indicate how we have drawn upon or been helped by other members of the group in an appropriate manner: e.g., by a verbal or written citation or other appropriate acknowledgement.

#### **4.1 Scientific and Artistic Productivity**

As an Institute, we hope that as many of our artists and scholars as possible will contribute to the arts and sciences. However, we must guard against the use of simplistic and arbitrary measures of scientific and artistic productivity. What matters most is not just the number of works we

produce but their quality, their contribution to the development of the arts and sciences, the extent to which other scientists and artists find them worthy, or their contribution to social well-being.

#### **4.2 Use of Research Funds**

Researchers are required to follow strictly the regulations governing the use of research grants published by granting agencies as well as relevant Institute regulations. All direct funding sources used in the conduct of research should be acknowledged in publications, exhibitions or performances. The intentional misuse of funds designated for research purposes represents financial misconduct and is prohibited.

Although researchers are encouraged to use their grants to share common research expenses, these should be apportioned on the basis of the benefit or use obtained. Grants must be used for the benefit of the researcher's own research program. Researchers must not be required to contribute to *pooled* expenses from which they obtain no benefit.

#### **4.3 Research with Human Subjects, Animals and Dangerous Materials.**

Appropriate guidelines must be followed for research involving human subjects, animals, and dangerous materials. These guidelines apply under all conditions, whether the research is funded or not, and whether it is conducted by faculty, students, staff or visiting researchers. When conducting research with human subjects, researchers are expected to include as subjects only those who have freely chosen to participate on the basis of informed consent, who may discontinue their participation at any time if they so choose, who are informed if any deception is employed, who are adequately protected from any potential risks and dangers, and who are appropriately counselled and referred for assistance if necessary

Anyone proposing to undertake research with human subjects get approval departmental committees. Similarly, anyone undertaking research using animals must adhere to recognized guidelines on animal experimentation, take good care of these animals, and avoid unnecessary

pain. They must complete application forms which are then reviewed by the Animal Care Committee of the Institute.

## **5.0 INTEGRITY IN INSTITUTE GOVERNANCE**

Members of the DLIBT Council have a responsibility to espouse the values and philosophy of the Institute and to reinforce them whenever opportunities arise. Together with the senior administration, they shall establish and maintain a climate of trust and mutual respect, through the manner in which they conduct themselves within the Institute community. It is the responsibility of the Board to ensure that the mechanisms of accountability are in place.

Senior administrators assume broad administrative responsibilities. They are expected to establish and maintain open and transparent systems of operation, accessible and intelligible to all those whom they direct and manage. They should keep the Institute community fully informed about the nature of the issues that affect the Institute and invite members of the Institute to participate in the solution of such issues. It is expected that the reasons for final decisions on Institute-wide issues will be communicated in a written report to the Institute community.

In their capacity as Members of the DLIBT Council, administrators, managers, chairs, and supervisors, Institute members are expected to act responsibly and fairly. In their handling of all issues, they are expected to honour the principles of integrity, collegiality, natural justice, and due process.

Many other Institute members also help to administer the Institute. They do so to the degree that they participate in the governing boards and councils of the Institute, exercise managerial positions in relation to Institute programs, and/or assume supervisory responsibility over the work of others. They also act as principal investigators in relation to their research projects, as supervisors in relation to their staff, and as Chairs in relation to their colleagues.

Administrators, managers, chairs, and supervisors are expected to communicate clearly what is expected of those in the work units that they direct or manage. In particular, they are expected to familiarize themselves with and communicate this Code of Ethics and other relevant material

from other codes, policies and collective agreements. They are also expected to communicate relevant performance expectations to others within their units. It is the responsibility of all supervisors to provide timely, objective, and intelligible feedback on the work of those they supervise. They may provide this feedback either as formal written reasoned reports or informally as allowed or specified by relevant collective agreements.

From time to time, conflicts and dilemmas may arise within particular work units. It is the responsibility of administrators to attempt to address and resolve conflicts and dilemmas in their units. They are expected to foster discussions, and seek the aid of other Institute offices or centres which may help them address these problems. They should also act in full cognizance of the relevant collective agreements. Administrators are expected to intervene as soon as possible within their units if they suspect others of misconduct or acting questionably.

## **6.0 CONFLICTS OF INTEREST**

Conflicts of interest are situations in which the judgments and subsequent actions of individuals are likely to be affected because of multiple, competing interests. In such situations, we need to find responsible ways of balancing personal autonomy, privacy, professional integrity, and accountability.

This chapter highlights major kinds of conflict of interest: those involving personal relationships, those emanating from the multiple roles played by Institute members, those arising in relation to the use of Institute resources, those arising out of material financial interests, and those arising out of external collaborative activities. In addition, a special form of conflict of interest, conflict of commitment is addressed.

### **6.1. Conflicts of Interest Involving Personal Relationships**

The quality of decisions may be adversely affected sometimes in settings where those making the decisions have personal relationships with those who are the subjects and possible beneficiaries of these decisions. The critical concern here is to ensure that personal regard, whether positive or negative, does not unduly, unknowingly, inappropriately or unfairly affect how decisions are made. Conflicts of interest may arise, or may be perceived to arise, when people are involved in

making decisions affecting any members of their families, relatives, or those with whom they have or have had intimate relationships. We ought to excuse ourselves from such decision making. Moreover, unless it can be shown to be of negligible importance, we should generally excuse ourselves from decisions affecting present or former business partners. We may excuse ourselves without openly having to declare the reasons for our decisions, if we judge that our personal regard for others will adversely affect the objectivity of our decisions. In many cases, however, we can manage potential conflicts of interest by frank but discreet disclosure of these relationships and by the readiness of our colleagues to speak up whenever personal bias seems to arise.

## 6.2 Conflicts of Interest Involving Multiple Roles within the Institute.

Conflicts of interest may arise when the same person plays several roles within the Institute. An Institute member can be involved organizationally in two or more relationships with another member such that the interests specific to one role inappropriately affect decisions made with respect to the other role. As with personal relationships, these real, potential and apparent conflicts of positional interest can be handled by excusing oneself from making a decision where either it becomes, or it appears to become, difficult to render balanced, objective judgements. These conflicts of interest may also be handled by open and collegial attention to possible bias.

## 6.3 Conflicts of Interest Arising in Relation to the Use of Institute Resources

The Institute has diverse resources. Where the goals of the member and the Institute coincide (for example, in scholarly publication), Institute resources may be used. The Institute has the right, however, to recover costs when individuals use Institute resources for outside professional activities. For example, the Institute charges overhead fees for all contract research projects. If used for outside activities or for personal purposes, members shall pay the Institute for space, computer time, lab equipment and supplies, long-distance calls, secretarial services, mail



services, and accounting services, as appropriate. The administration for collecting fees may differ, but in each case, the appropriate Vice-Rector is ultimately responsible.

#### 6.4 Use of Institute Name

We need the express permission of the DLIBT Council to utilize the Institute's name for any purpose unrelated to our role or duties at the Institute. This does not obviate the right to identify ourselves by our position and our employer.

#### **6.5 Conflicts Arising out of Material Financial Interests**

Institute members may freely contract to sell works they have produced as Institute members without occasioning conflicts of interest. These works may include essays, books, films, and works of art, choreography and inventions. The provisions of the relevant collective agreements shall apply. Where a collective agreement is silent or where there is no collective agreement in place, the member shall negotiate a written agreement with the appropriate Vice Rector, Secretary-General, Rector or Chair of the Board with respect to the sale of their work.

As an external activity, some Institute members establish firms to offer consultation services, engage in research under contract to others, or fabricate and/or market goods or services. Our involvements in these firms must not infringe on our contractual commitments to the Institute. These involvements should not hamper the Institute's own research and professional activities. If students are hired to work for these firms, their activities as employees should not affect their evaluation as students.

#### **6.6 Making Transactions.**

Conflicts of interest can arise when Institute members, including members of the DLIBT Council, have material interest in firms or organizations with which the Institute enters into transactions. Institute members can unfairly benefit as a result of these transactions. Therefore, we should excuse ourselves from negotiating transactions with firms in which we, close relatives, or those with which we have a valued relationship possess significant material financial interest. We should excuse ourselves from any settings in which as an Institute member we would be negotiating with ourselves as representatives of other agencies or firms. In settings

where we still possess a material financial interest of a smaller or less direct nature, as, for example, a copyright author of a text, we should consult with our supervisors when making related purchasing decisions.

### **6.7 .Conflicts of Interest Arising out of External Activities**

Increasingly, universities and their members have developed working relationships with government agencies and private industry which support and extend their research and use their skills and knowledge in ways that are socially, and at times economically, beneficial. These relationships have been encouraged by government and welcomed by industry. They often provide opportunities to expand and support academic, creative, athletic and scientific activities, to establish useful applications for scholarly work, and to offer training opportunities for students. However, potential conflicts of interest arise as the lines between the Institute and industry, scientific research and industrial development become blurred.

We should explore ways of connecting these external collaborations with scholarly, scientific, athletic and creative endeavours at the Institute, through its research and service centres. These connections facilitate stimulating exchanges of ideas and limit the extent to which Institute members isolate themselves from colleagues and become excessively preoccupied by their external work.

As Institute members, we should enter into external collaborative research when the conditions allow us to publish the results of our investigations in a timely fashion. If collaborations assume the form of contract research, however, then they must adhere to the Institute policy for these ventures. Institute members receiving funds from these projects must make annual reports to the appropriate authority on the status of the funds and the use made of them. Our engagement in external work shall not exceed the time limits set out by the relevant collective agreements or by our agreements with our supervisors.

### **6.8. Conflicts of Commitments**

A conflict of commitment is a special form of conflict of interest that arises with respect to how we spend our time in relation to our specific duties and responsibilities. Because many Institute

members are extended considerable discretion over the use of their work time, *apparent* or *potential* conflict of commitment situations arise from time to time. A real conflict of commitment exists whenever our involvements with other activities interfere with our commitment to our duties and responsibilities. If a real conflict of commitment exists then steps must be taken either to reduce or eliminate these other involvements or to renegotiate our work assignment to a reduced level.

Conflicts of commitment could apply to anyone who works for the Institute and receives remuneration for this work, whether in a full or part-time capacity. The basic principle may be stated as follows: We may well make other commitments, remunerative or not, so long as these do not interfere with or prevent us from honouring in full our specific and general commitments to Ghana Technology Institute. What is fundamentally decisive is not the extent or kind of these other activities and involvements, but whether and to what degree these commitments detract from our ability to honour our commitment to Concordia.

All full-time faculty, staff, administrators and fellowship-holders are expected to make a full-time commitment to the Institute and are not to hold any other full-time remunerative positions. However, they may hold other *part-time* remunerative positions, as their specific collective agreements allow, if these can be performed without compromising their ability to perform their duties and responsibilities in keeping with expected standards.

Decisions to engage in part-time consultative, professional and other work-related activities must always be made in *open consultation* with appropriate supervisors and colleagues. These activities should not interfere with our ability to perform our primary obligations as employees and fellowship holders. Decisions to undertake such involvements are not strictly private, personal decisions. The Institute, through the relevant supervisors and colleagues, must be made aware of these involvements and can raise questions as to their extent and appropriateness.

## **6.9. Related Issues**

**6.9.1 Disclosure and Consultation.** Whenever the actions or decisions of either ourselves or others might be adversely or disproportionately affected because of a conflict of interest, we have an obligation to disclose these interests and related concerns to appropriate supervisors and

colleagues. We have a further obligation to consult with them on the measures to be taken to identify, manage and/or terminate real or potential conflicts of interest. It is particularly useful to discuss situations in which there are only *apparent* conflicts of interest. Open discussions of these apparent conflict situations can show the Institute and its members how to discern more clearly the differences between real and apparent conflicts. It is wrong to conceal knowledge of material facts bearing upon instances either of misconduct or questionable practices.

**6.9.2 Seeking Resolutions.** Whenever those with supervisory responsibilities judge that Institute resources are being used inappropriately or without fitting compensation for the Institute, they should raise their concerns with the Institute members in question and seek a fair and fitting written resolution. Should they be unable to reach an agreement, these cases may be referred up to the relevant Vice-Rector, Secretary-General and/or Rector.

**6.9.3 Refusing Gifts.** As we engage in transactions and make decisions relating to our work at the Institute, we ought in all situations to decline and indicate our unwillingness personally to receive sizeable gifts or benefits from those engaged in such transactions or work. Small gifts may be received so long as they do not appear to lead us to make decisions that unfairly benefit the donor.

**6.9.4 Terminating Activities.** Cases where real or potential conflicts of interest are particularly severe can only be resolved by terminating the activities giving rise, or likely to give rise, to these conflicts.

**6.9.5 Need for Discretion.** The range of fitting responses to conflicts of interest is diverse. Not all real or potential conflicts of interest can be managed simply by disclosure of the interests involved; different conflicts call for different responses. In order to exercise good judgment, these cases need to be discreetly yet fully discussed by the persons involved and their supervisors. Any public questioning of the appropriateness of particular responses ought to be avoided until regular, internal avenues of inquiry have been pursued and exhausted.

## **7.0 ATTENDING TO ETHICS**

This chapter discusses the ways we are expected to raise, consider, and resolve ethical issues.

### **7.1. Sizing up Situations**

When an ethical issue arises, we should attempt to identify the issue as clearly as possible, assess its seriousness, initiate informal investigations, discount hearsay evidence, and explore possible alternative responses. It is often useful informally to seek the counsel of others. We ought to consult relevant Institute codes, policies, and collective agreements. Depending upon the character of the issue and the Institute status of those involved, we may seek advice from any of the following: the Ombuds Office, the Advisor on Rights and Responsibilities, the Institute's Legal Counsel, the Student Advocacy Office, the Dean of Students, union representatives, or the Office of Research Services. If we think that a formal complaint ought to be made, we may also seek the assistance of these same officials in helping us to make our case.

### **7.2. Determining which Codes or Policies are Applicable**

Those raising issues or making complaints should determine whether the case under consideration arises in relation to this Code, or another Institute policy. Procedures for raising, making, and hearing formal complaints differ with respect to these different codes.

### **7.3. Determining the Type of Issue.**

Ethical issues assume different forms. Although no hard and fast boundaries exist, it is possible to distinguish among several quite different forms by which ethical issues arise.

(a) Many issues assume the form of dilemmas. For most ethical dilemmas, there is no one right answer and differences of views are legitimate. For example, we may differ on the best way to manage some conflict of interest situations, promote workplace equity, or foster responsible supervision of graduate students. We may also disagree on the best way to handle issues related

to academic integrity or to champion new ideals, worthy reforms and innovative moral projects. Dilemmas and conflicts like these are best handled through discussions, consultations, negotiating and, at times, hard bargaining.

(b) Other issues arise when an Institute member is suspected of acting in a morally questionable manner. Questionable behaviour typically occurs because of inattention, carelessness, negligence, or honest but mistaken views about the propriety of particular practices. Issues with respect to questionable practices are often best handled through ordinary supervisory and collegial patterns of accountability.

(c) Still other ethical issues arise when an Institute member is suspected of misconduct. These concerns are raised because an Institute member is suspected of violating obligatory standards of conduct.

### **7.3. Exercising Judgment.**

We must exercise good judgment both in how we apply this Code to our own activities and how we raise issues. We must exercise our judgment in determining how serious particular cases are and whether initial responses adequately address the issue in contention. As we or others raise an ethical issue, we must decide in our best judgment whether the case represents a genuine ethical dilemma, an instance of questionable behaviour, or a case of misconduct. Additionally, before we voice feedback, we are called upon to consider thoughtfully the judgments and justifications of supervisors and hearing panels with which we may disagree. Whenever we raise questions, make complaints, issue reprimands, and render judgments in relation to this and other Institute codes and policies, we are called upon to support our positions with appropriate information and arguments.

### **7.4 Confidentiality.**

We invoke the principle of confidentiality whenever we judge it fitting to protect the identity of persons from public exposure and scrutiny. Many discussions of ethical issues can and ought to take place openly. In other cases, however, especially those involving alleged instances of questionable practices or misconduct, it is often advisable for discussions to proceed confidentially.

Initially, both informal and formal complaints of misconduct or questionable behaviour ought to be made privately and confidentially to protect the identities of persons against whom complaints are made. The latter should not be subjected to public exposure prior to attempts informally or formally to resolve the issues at hand. Because the reputations of people can be inadvertently harmed, queries of suspected questionable practices and misconduct should be voiced privately and professionally.

While it is often possible to protect confidentiality of complainants with respect to the public, it is not always possible to protect their identity from those against whom they are complaining. Formal complaints of misconduct or questionable behaviour can be made confidentially in ways that protect the identity of the initial, informal complainants only so long as it is possible to produce substantial, verifiable and independent evidence in support of these complaints.

### **7.5 Anonymous Allegations**

Complaints and allegations received from unnamed and unacknowledged sources will not be considered. No actions will be taken on the basis of anonymous information except where there is clear and present danger to persons or property. Institute members cannot be subjected to formal investigations based on anonymous testimony.

### **7.6 Honest Error**

It sometimes happens that Institute members question the propriety of actions which are subsequently judged to be either acceptable or questionable but of insignificant importance. We should not be penalized for raising such questions. The Institute will protect Institute members

who raise questions and initiate complaints in good faith but may take action against those who speak against others maliciously.

## **8.0 RAISING AND HEARING FORMAL COMPLAINTS**

### **A. Making Formal Complaints**

***A1. Determining Whether to Make Formal Complaints.*** Any Institute member may initiate informal complaints with respect to suspected misconduct. If we think that a formal complaint ought to be made, we need to discuss this concern with the Appropriate Institute Authority (AUA). It is the responsibility of these Authorities to investigate the cases brought to them and to determine whether to lodge a formal complaint. In order to undertake these tasks, the Authority may seek out the advice and expertise of others.

***A2. Who Makes Formal Complaints?*** Formal complaints are made only by an AUA specially designated with this responsibility. The AUA chosen depends on the status of the Institute member against whom a complaint is made. When faculty members or librarians are involved, the AUA is the Faculty Dean or Director of Libraries. When students are involved, the AUA is the relevant individual set out in the Code of Conduct (Academic). When complaints are made against staff, a supervisor at least two levels above will serve as the AUA. In the case of Senior Administrators and Board Members, the AUA is a Vice-Chair of the Board.

***A3. When Complaints Are Made By Persons outside the Institute:*** People from outside the Institute may request that the Institute undertake an investigation of alleged improprieties committed by Institute members. Depending against whom a complaint is made, the specific AUA is expected to act as she or he would with informal complaints and allegations raised by Institute members.

***A4. How are Formal Complaints Made?*** Formal complaints must be written. They must clearly identify the incidents or activities in question and the way these violate this Code. Copies of this complaint must be given to the person(s) against whom the complaint is made in a timely



manner. Formal complaints may be withdrawn at any time. Complaints must be handled fairly, in keeping with the principles of natural justice.

## **B. Formal Hearings**

A formal complaint is submitted to a hearing process presided over by an individual or panel (hearing panel). The hearing panel is expected to receive and consider all evidence submitted by both parties, the AUA and those against whom complaints have been made, and may request further information. Those complained against may be supported by an advisor from within the Institute. The hearing panel renders its decision or makes its recommendations in a reasoned, written report. Hearings are expected to occur promptly and decisions or recommendations are expected to be rendered without undue delay. The hearing process must protect the confidentiality of its proceedings and the identities of those involved to the extent permitted by the relevant collective agreements and by law.

Absent the consent of the parties, hearings of formal complaints take place in camera. During these proceedings, every attempt should be made to safeguard the identities of the parties. Those making complaints should not publicly discuss their complaints unless they can protect the identity of those against whom they are making complaints. Those facing complaints can choose to discuss the substance of the complaints against them with others so long as they do so discretely and do not identify the source of these complaints. The issues arising out of these cases can be publicly discussed so long as the identities of the parties remain confidential.

***B1 Who Holds Formal Hearings?*** The composition of a hearing panel is determined by the Institute status of the individual against whom a complaint has been made. With respect to faculty, librarians, and staff formal hearings are conducted in keeping with procedures set forth in their respective collective agreements or Institute policy. With respect to students, hearings are conducted in keeping with procedures set forth in the Code of Conduct (Academic). With respect to Senior Administrators and Board Members hearings are conducted by a four member hearing panel appointed by the Chairperson of the Board to whom recommendations are in turn forwarded.

### ***B2 How are Hearing Panels Composed?***

A Panel composed of a representative of the student representative council and standing members of the student disciplinary committee are designated for hearing. For student cases, hearing pools and hearing panels are named in keeping with procedures set forth in the Code of Conduct (Academic).

### **C. Possible Disciplinary Actions**

When Institute members are found guilty of misconduct or serious questionable practices, a sanction is imposed, which should be proportionate to the seriousness of the infraction.

### **D. Appeals**

Institute members found in violation of the Code of Ethics may appeal the decisions and/or sanction reached against them. How appeals are conducted varies with the status of the individuals. All Institute members whose relationships with the Institute are governed by collective agreements can appeal judgments through arbitration procedures established by their respective collective agreements. Students can appeal judgments rendered by virtue of the Code of Conduct (Academic) to the Council Appeals Committee on Academic Misconduct. Graduate students can appeal certain judgements to the Graduate Appeals Committee. Senior Administrators and Board members can appeal judgments to the Board as a whole.

## **ADDENDUM TO ETHICS POLICY**

**(Staff - student relationship policy; Student-student relationship policy; Ethics in Research policy & Anti-Sexual harassment policy).**

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***1.0 DLIBT’s staff student relations policy***

The relationship between staff and students should ideally, be one of cooperation, understanding and mutual respect. The staff has the responsibility to provide an atmosphere conducive to learning and to motivate each student to perform to his or her capacity. The staff is expected to model the behavior expected of students in staff-student relationships.

All employees are prohibited from dating, courting or entering into a romantic or sexual relationship with any student enrolled in DLIBT regardless of the student's age. Employees engaging in such inappropriate conduct will be subject to disciplinary action, up to and including dismissal.

Any employee who has reason to believe that another employee is inappropriately involved with a student, as described above, is required to report this information to the HR department. An

employee who fails to inform HR of a suspected inappropriate relationship between an employee and a student may be subject to disciplinary action, up to and including dismissal.

For the purposes of this policy, the term “employees” includes casual workers, attachment workers, National service workers, adjunct lecturers and full-time employees.

## ***2.0 Faculty-Student Consensual Relationship Policy***

Faculty have a professional responsibility to exhibit the best scholarly and ethical standards of their profession; to demonstrate respect for students as individuals; to adhere to their proper roles as intellectual guides and counselors; to make every effort to foster honest, academic conduct; to assure that their evaluation of students reflects each student’s true merit; and to avoid any exploitation, harassment, or discriminatory treatment of students.

DLIBT normally has no interest in private romantic or sexual relationships between individuals. However, DLIBT does have a responsibility to protect the integrity of the learning environment and evaluation processes. This policy addresses consensual relations only; non-consensual or coerced relationships are dealt with under DLIBT’s Sexual Harassment policy.

Amorous relationships between faculty and student in which the faculty member is not in a position to evaluate or supervise the student may lead to difficulties. Such relationships, however, are not within the scope of this policy so long as the instructor does not participate in decisions that may reward or penalize the student.

Violations of the standards described herein may lead not only to university sanctions, but could also subject faculty to legal proceedings initiated by an aggrieved individual and/or by a government agency.

Note:

For purposes of this policy, the terms “faculty” and “instructor” include any university employee performing in an instructional or supervisory role with students.

### **3.0 *Student-Student Relationship Policy***

#### **3.1 Purpose**

The purpose of this policy is to clarify who constitutes a student and provide a platform to spell out DLIBT's approval of student-student relationships whether amorous or platonic. In-as-much-as DLIBT does not prohibit any such relationships, it is hoped that such relationships will promote the social and physical well-being of students and generally foster their academic growth.

"Student" here mean all individuals who receive instruction under the auspices of DLIBT, including but not limited to:

- Those who have matriculated into an educational program at DLIBT, whether or not the student is currently enrolled (e.g., students who have matriculated but have not yet registered for classes, students who decide not to enroll for a period of time, and doctoral degree candidates who are not registered);
- Registered students in the various formal undergraduate and postgraduate programmes;
- Registered students in the various non-formal programmes organised by DLIBT;

"Instructional" means involvement in instruction or evaluation or supervision, direct or indirect, of a student's academic work or participation in DLIBT programs.

This policy applies only to relationships involving students. However, romantic and/or sexual relationships in other contexts -- between faculty members, between faculty and staff, or between staff members, where one person supervises the other -- also may be problematic, and are generally prohibited.

### **4.0 *Ethics in Research Policy***

#### **4.1 Purpose**

The purpose of this policy is to clarify the obligations on staff and students who undertake research activity. Detailed guidance is available in DLIBT's Research Ethics and Governance Handbook.

- a) DLIBT's mission is to serve our learning communities by delivering internationally recognised and professionally relevant learning, research and enterprise. Commensurate with this mission is a commitment to ethical standards in academic life. Broadly defined, this means a systematic regard for the rights and interests of others in the full range of professional relationships and endeavors that characterizes academic life.
- b) b) All research is subject to ethical considerations concerning purpose, source of funding, methods to be deployed and wider value and impact. It is important that risks in carrying out a piece of research are clearly articulated and weighed against the potential value of it so that all those involved proceed with informed consent. The mechanisms for approving research activity are detailed below and in the Research Ethics and Governance Handbook and all staff are required to be compliant with this policy to ensure that the wellbeing of all involved in research is protected.
- c) The policy is intended for all those engaged in research activity as they are embodied in different disciplines. It is designed primarily for academic staff, including those on research contracts, but is also relevant to research degree students, taught postgraduate and undergraduate students engaged in projects.
- d) The policy is built upon ethical and good practice guidelines issued by Research Councils, professional bodies, subject associations and external ethics committees.

## **5.0 University Framework for Considering Ethics in Research**

- 1) Each member of staff, (and when appropriate students involved in research) is responsible for abiding by the University's Policy on Ethics in Research. Advice should be sought, in the first instance, from the Dean of School.

2) DLIBT's framework for the consideration of ethical issues in research comprises:

(a) Formal consideration of ethical issues in research at the discipline level;

(b) Monitoring at the level of the School Research Committee; and

**(c) Institutional oversight.**

3) It is the responsibility of every Dean of School to ensure that appropriate consideration is given to ethical issues arising in and from research activity for staff and students in all disciplines within the School. The Dean of School will exercise this responsibility either through the School Research Committee or by establishing an ethics sub-committee or consultative group with the following brief:

- to ensure good practice and a climate of ongoing reflection with regard to ethical issues in research and consultancy;
- to support academic staff and students in the consideration of ethical issues;
- To ensure good practice by the scrutiny of all research and consultancy activity at critical points (which will be defined locally in accordance with the nature of the research activity and the discipline and as outlined by professional bodies).

4) Each school research committee or ethics sub-committee will:

- include academic staff with a significant track record in research and teaching;
- meet as frequently as required, but at least three times per year, and maintain appropriate records of the business conducted;
- will be aware of the legislation and the requirements it places on the University;
- Undertake an annual audit to ensure that appropriate ethical standards are maintained.

5) The Dean of School (working with the Research coordinator) is responsible for submitting an annual report to the University Research Ethics Committee at the end of each academic year in a prescribed format to provide: DLIBT's Research– Policy Statement. It shall comprise the following:

- (a) A brief statement of the local arrangements for consideration of ethical issues in research;
  - (b) A list of those activities where ethical consideration has been required; and
  - (c) An indication of the problems which have been referred directly to another internal or external committee for their resolution
  - (d) Maintain records of all research projects (including dissertations) which involve ethical issues.
- 6) The Dean of School can refer to the University Research Ethics Committee any matters which cannot be satisfactorily resolved at School level.
- 7) The University Research Ethics Committee will submit the reports to the Research Committee at the beginning of each academic year.
- 8) The University Research Ethics Committee is established as a sub-committee of the Research Committee with the following terms of reference:
- to provide written Guidelines on ethical issues in research, for use by staff and students of the University;
  - to take a University overview of the Ethics Policy implementation and to recommend policy changes;
  - to advise on any issues of an ethical nature referred to it by the Deans of the Schools, and
  - To receive relevant papers/information from external bodies for consideration.
- 9) Membership of the University Research Ethics Committee will comprise senior academic staff with a proven track record in research appointed by School Research Committees. The Committee will also have powers of co-option, to allow appropriate consultation with relevant experts.

## **6.0 Anti-sexual harassment policy**

### **6.1 Purpose**



DLIBT is committed to provide a safe, healthy and conducive academic and work environment that enables its employees and students to work and study without fear of prejudice, gender bias and sexual harassment. Sexual harassment at the work place or other than work place if involving employees is a grave offence and is, therefore, punishable.

The purpose of this Anti-Sexual Harassment Policy is to prohibit, prevent and deter commission of sexual harassment, provide protection against sexual harassment of women especially in DLIBT and to provide a platform for redressal of complaints and grievances against sexual harassment for both staff and students.

## **6.2 *Applicability***

This Policy will be applicable to all allegations of Sexual Harassment in DLIBT against an employee or student.

## **6.3 *Scope***

Sexual Harassment includes any one or more of the following unwelcome acts or behaviour (whether directly or by implication) namely:—

- I. Physical contact and advances; or
- II. A demand or request for sexual favours; or
- III. Making sexually coloured remarks; or
- IV. Showing pornography; or
- V. Any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

## **6.4 *Prevention of sexual harassment***

No woman shall be subjected to sexual harassment in DLIBT.

The following circumstances, among other circumstances, if it occurs or is present in relation to or connected with any act or behaviour of sexual harassment may amount to sexual harassment:—

- (i) Implied or explicit promise of preferential treatment in her employment; or

- (ii) Implied or explicit threat of detrimental treatment in her employment; or
- (iii) Implied or explicit threat about her present or future employment status; or
- (iv) Interferes with her work or creating an intimidating or offensive or hostile Work environment for her; or
- (v) Humiliating treatment likely to affect her health or safety.

## **6.5 Redressal process**

Any aggrieved woman may make, in writing, a complaint of Sexual Harassment in DLIBT to the HR department.

Where the aggrieved woman is unable to make a complaint on account of her physical or mental incapacity or death or otherwise, her legal heir or such other person as may be prescribed may make a complaint under this section.

## **6.6 Punishment for sexual harassment**

The following actions may be taken against the respondent on the recommendation of the disciplinary committee if the allegations against him are proved to be true:

- Action for misconduct as per the policy in place against the respondent.
- Deduction from salary or wages of the respondent to be paid to the aggrieved woman or to her legal heirs. If it is not possible to make such deduction from the salary of the respondent due to his being absent from duty or cessation of employment, the respondent may be directed to pay such sum to the aggrieved woman.

## **6.7 Protection of identity**

The contents of the complaint, the identity and addresses of the aggrieved woman, respondent and witnesses, any information relating to conciliation and inquiry proceedings,

recommendations of the disciplinary committee and the action taken by the employer will not be published, communicated or made known to the public, press and media in any manner.

## **6.8 Appeal**

Any person aggrieved from the recommendation of the disciplinary committee or non-implementation of such recommendation can appeal to the committee in accordance with the provisions of the policy in place within 1 week from such recommendation.