

University of Saskatchewan Policy

Research Integrity Policy

1.0 Purpose

To set forth the standards for research integrity for all those involved in any capacity in research at the University of Saskatchewan.

2.0 Principles

The research, scholarly and artistic work of members of the University of Saskatchewan must be held in the highest regard and be seen as rigorous and scrupulously honest. Scholarly work is expected to be conducted in an exemplary fashion, be ethically sound, and contribute to the creation of and the refinement of knowledge. Stewardship of resources associated with research must be transparent and comply with all University and funding agency policies and regulatory requirements.

Allegations of research misconduct at the University of Saskatchewan will be dealt with by prompt, effective procedures that ensure fairness and protect both those whose integrity is brought into question and those who bring forward allegations of misconduct.

The University of Saskatchewan will provide ongoing educational opportunities for those engaged in research to develop and maintain “the highest standards of integrity, accountability, and responsibility.”¹

3.0 Scope of this Policy

For the purposes of this document, “research” encompasses the creation of new knowledge and understanding through research, scholarly, and artistic work.

This policy applies to all members of the University involved in research, in any capacity whatsoever. Members of the University of Saskatchewan, include but are not limited to, faculty, professors emeriti, sessional lecturers, staff, trainees, clinical faculty, graduate and undergraduate students, adjunct professors, visiting professors, visiting scholars, professional affiliates, associate members, residents, and postdoctoral fellows (PDFs) at the University of Saskatchewan.

Nothing in these procedures will limit or amend the provisions of any existing collective agreement at the University of Saskatchewan. Subject to existing collective agreements, the formal resolution procedures in this Policy will not be used if an allegation is, or has been addressed using another University procedure such as a grievance, a hearing for a student academic misconduct or non-academic student discipline and appeal. Allegations of research misconduct brought against graduate and undergraduate students will be dealt with through the *Regulations on Student Academic Misconduct*².

¹ From the Tri-Council Policy Statement: Integrity in Research and Scholarship. Full document available at: http://www.nserc-crsng.gc.ca/doc/NSERC-CRSNG/tpsintegrity-picintegritie_eng.pdf

² http://www.usask.ca/university_secretary/honesty/StudentAcademicMisconduct.pdf

Lack of awareness of the policies, cultural differences, and/or impairment by alcohol or drugs are not a defense for research misconduct. If it can be demonstrated that a university member knew or reasonably ought to have known that he or she has violated the university's research integrity policy, then the violation may be dealt with under the provisions of this policy.

This policy document is supported by two procedural documents entitled *Procedures for Addressing Allegations of Research Misconduct at the University of Saskatchewan* and *Procedures for Stewardship of Research Records and Materials at the University of Saskatchewan*.

4.0 Definition of Research Misconduct

Definitions of research misconduct include, but are not limited to:

- a. the intentional fabrication or falsification of data, erroneously reporting research procedures, or data analysis; the use of someone else's data or ideas and claiming it as one's own; plagiarism; or other deceitful acts or improprieties in proposing, conducting, reporting, or reviewing research;
- b. failure to comply with pertinent federal, provincial, international, or University guidelines for the protection of researchers, human subjects, the public, and the welfare of animals; or failure to meet other legal requirements that relate to the conduct of research;
- c. failure to conduct research in the manner in which it has been approved by the University's Research Ethics Boards;
- d. failure to disclose any conflict of interests when asked to undertake reviews of research grant applications or to test products for sale or distribution to the public;
- e. failure to disclose conflict of interests prior to any commitment or expenditure of research funds and failure to notify their respective unit head should a conflict arise at a later point;
- f. failure to disclose to the University any financial interest in a company that contracts with the University of Saskatchewan 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 holdings, a directorship, honoraria or consulting fees, but does not include minor stock holding (<\$10,000) in publicly traded corporations;
- g. misuse of funds acquired for the support of research; and,
- h. failure to comply with terms of research funding agreements or university policy on Research and Scholarly Activities and the Administration of Research Funds.

The definitions of misconduct in research should not be interpreted as including differences of opinion regarding research methodologies, analyses of data, and theoretical frameworks.

5.0 Policy

Research, scholarly, and artistic work at the University of Saskatchewan will be conducted under the highest standards of research integrity and in accordance with the following assigned responsibilities:

5.1 Responsibilities of Members of the University

University Members: University members are responsible for conducting their research, scholarly, and artistic work according to the highest standards of research integrity. University members are also responsible for:

- a. obtaining all the required University of Saskatchewan and respective agency approvals and training for research including, but not limited to, research involving human or animal subjects, fieldwork, biohazards, radioisotopes, environmental impact.
- b. ensuring that their research, scholarly, and artistic work is conducted in accordance with these approved protocols and that they adhere to all reporting requirements.
- c. ensuring students and research staff are carefully supervised and trained in the conduct of research, scholarly, and artistic work, including experiments, processing of acquired data, recording of data and other results, interpretation of results, publication, and the storage of research records and materials.
- d. exercising “scholarly and scientific rigour and integrity in obtaining and analyzing data,”³ including being able to verify the authenticity of all data or other factual information generated in their research while ensuring that confidentiality is protected where required.
- e. protecting the privacy of any individuals whose personal information has been obtained as part of any research activities as required under the University’s Freedom of Information and Protection of Privacy Policy, *the Local Authority Freedom of Information and Protection of Privacy Act and the Health Information Protection Act*.
- f. managing funds acquired for the support of research as required by the terms of research funding agreements and the university policies on the *Administration of Research Funds⁴ and the Administration of Research Grants and Contracts⁵*.
- g. ensuring that individuals, and only those individuals, who have made a substantive intellectual contribution to research being reported in a publication are included as an author.⁶ Specific requirements for authorship and acknowledgement will be determined by the ethical guidelines or procedures established by a researcher’s discipline (i.e. set out by the journal(s) where publication is sought or by the leading journals in the researcher’s discipline).
- h. reporting conflicts of interest as per the University of Saskatchewan Policy on Conflict of Interest⁷.
- i. disclosing to the relevant Senior Administrator any research misconduct of which they have become aware whether or not it is specifically included within the policy.

University Officials: University Officials (Senior Administrators, Department Heads, Directors, and Managers) are responsible for promoting and overseeing research, scholarly, and artistic work at the University of Saskatchewan that is conducted with the highest standards of research integrity. They are also responsible for:

- a. dealing expeditiously and fairly with any known instances or allegations of research misconduct and,
- b. encouraging activities that support research integrity among University Members.

³ From the Tri-Council Policy Statement: Integrity in Research and Scholarship. Full document available at: http://www.nserc-crsng.gc.ca/doc/NSERC-CRSNG/tpsintegrity-picintegritie_eng.pdf

⁴ http://www.usask.ca/university_secretary/policies/research/8_22.php

⁵ http://www.usask.ca/university_secretary/policies/research/8_20.php

⁶ From the Tri-Council Policy Statement: Integrity in Research and Scholarship. Full document available at: http://www.nserc-crsng.gc.ca/doc/NSERC-CRSNG/tpsintegrity-picintegritie_eng.pdf

⁷ U of S Policy on Conflict of Interest is available at http://www.usask.ca/university_secretary/policies/operations/4_01_01.php

Senior Administrators: Under this policy, Senior Administrators include: Deans (when respondents are faculty members, sessional lecturers or students in a college); Directors or Associate Vice-Presidents in charge of an administrative Unit (when respondents are employees); the Provost (when respondents are Deans or visiting professors); the Dean of Graduate Studies and Research (when respondents are adjunct professors, post doctoral fellows, professional affiliates or visiting scholars/professors); Vice-Presidents (when respondents are Directors of an administrative unit or Associate Vice-Presidents), the President (when respondents are Vice-Presidents); and, the Board of Governors (when the respondent is the President).

These individuals (or their designees) are responsible for:

- a. determining whether a formal investigation will occur; and
- b. directing and overseeing formal investigations, as outlined in *the Procedures for Addressing Allegations of Research Misconduct*.

6.0 Confidentiality

University Officials, Senior Administrators, Department Heads, Directors, and Managers will 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 *Local Authority Freedom of Information and Protection of Privacy Act*, which may include disclosing the discipline, if any, imposed on members of the University.

7.0 Education

To promote a greater understanding of research ethics and integrity issues, the University will offer workshops, seminars, web-based materials, courses, and research ethics training for University members along with orientation for those members who are new to the university. When examples of investigations at the University of Saskatchewan are used for the purpose of educating University members on acceptable practices for scholarly integrity and research ethics, personal identifiers will be removed from these cases in an effort to maintain confidentiality.⁸

8.0 Contact

For further information please contact the Susan Blum, Director, Research Services at susan.blum@usask.ca or 966-8575.

Effective date of these regulations 2010-09-01

⁸ Adapted from *Ethical Conduct in Research*, University of Toronto. Full document available at: <http://www.governingcouncil.utoronto.ca/policies/ethicalr.htm>