

Section:	Academic/Student (AC)
Subject:	Applied Research
Legislation:	
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APPROVED: _____

President and CEO

POLICY

The policy of the Board of Governors is to establish principles and procedures to ensure the integrity and accountability of research that students, employees and independent contractors conduct at SAIT on SAIT's behalf.

PROCEDURE

DEFINITIONS

Co-investigator

An investigator working in conjunction with the principal investigator on the research.

Complainant

An individual who believes that misconduct in research and scholarship has occurred at SAIT.

Employee

A person employed on SAIT's payroll, whether paid by annual salary or hourly wage.

Honorary authorship

A situation where authorship is attributed to an individual who has not substantially contributed to a research project.

Independent contractor

An individual contracted by SAIT under the individual's own company name and paid through Finance.

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**Misconduct in research
and scholarship**

Acts that include but are not limited to:

- a) Fabrication: making up data, source material, methodologies, or findings.
- b) Falsification: manipulating, changing or omitting data, source material, methodologies or findings without acknowledgement and which results in inaccurate findings or conclusions.
- c) Destruction of research records, whether one's own or another's data or records, to avoid the detection of wrongdoing or in contravention of funding agreements, SAIT's policies, legislation, or professional or disciplinary standards.
- d) Plagiarism: the submission of work in respect of which ideas or words are taken from another source and presented as if they are one's own work, without appropriate acknowledgment of the original source. It is the act of presenting another's materials as one's own without appropriate acknowledgement that constitutes plagiarism, regardless of whether or not one does so intentionally.
- e) Redundant publication or self-plagiarism: the re-publication of one's own previously published work or part thereof, without adequate acknowledgement of the source, or justification.
- f) Invalid authorship: inaccurate attribution of authorship.
- g) Inadequate acknowledgement: failure to appropriately recognize contributors.
- h) Mismanagement of conflict of interest: failure to appropriately identify and address any real, potential or perceived conflict of interest, in accordance with procedure HR.4.11.1 Conflict of Interest.

Principal investigator

The lead investigator completing the research.

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Researcher

Any member of the SAIT community or any person external to the SAIT community who conducts or carries out research using SAIT resources and/or formally using members of the SAIT community as human participants. This includes but is not limited to researchers carrying out scholarly activity, applied research, and/or research under the terms of a Cadmus Trades Teaching Chair award or a Cisco e-Learning Chair award.

Respondent

A member of the SAIT community alleged to have committed misconduct in research and scholarship.

SAIT community

All persons employed on SAIT's payroll (whether paid by annual salary or hourly wage), members of SAIT's Board of Governors, students, contractors, consultants, agents and volunteers.

Scholarly activity

Any activity that involves the intentional creation, integration and/or transmission of knowledge with a view to informing professional practice, contributing to the state-of-practice within a field and/or impacting the broader external environment.

GOVERNING PRINCIPLES

1. Integrity in research is best promoted through awareness and education about integrity, accountability and responsibility. SAIT shall post information on research integrity on SAITNow and in SAIT's scholarly activity publications, for the information of all those involved in research at SAIT.
2. To maintain integrity in teaching, research, scholarship and creative activity and to avoid misconduct in research and scholarship, individuals involved in teaching, research, scholarship and professional/creative activity shall:
 - a) Use scholarly and scientific rigour in proposing and performing research; in recording, analyzing and interpreting data, and in reporting and publishing data and findings.
 - b) Keep complete and accurate records of data, methodologies and findings, in accordance with funding agreements, institutional policies, legislation, and professional or disciplinary standards in a manner that will allow verification or replication of the work by others.

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- c) Reference and, where applicable, obtain permission for the use of all published and unpublished work.
 - d) Include as authors, with their consent, all those and only those who have made a substantial conceptual and/or material contribution to, and who accept responsibility for, the contents of the publication or document.
 - e) Acknowledge appropriately all those and only those who have contributed to research, including funders and sponsors.
 - f) Identify and address any real, potential or perceived conflict of interest, in accordance with procedure HR.4.11.1 Conflict of Interest.
 - g) Not use new information obtained through access to confidential manuscripts or applications seen as a result of peer review.
 - h) Maintain integrity in using research funds.
 - i) As applicable, make themselves aware of the requirements of SAIT's Research Ethics Board and procedure AC.4.4.1 Research Requiring Ethics Review.
 - j) Comply with SAIT's policies and procedures governing intellectual property and with the terms and conditions of research contracts and agreements.
3. Misconduct in research and scholarship occurs when one or more of the provisions set out in Governing Principle 2 is breached or as defined above.
4. Misconduct in research and scholarship may be committed with varying degrees of deliberateness. There may be a very narrow line between incompetence, carelessness and negligence on the one hand, and intentional dishonesty on the other hand. The result is objectionable in any case, even if different degrees of discipline are appropriate. Misconduct in research and scholarship does not include any matter involving only an honest difference of opinion, mistake or an honest error of judgment.
5. Accountability
- a) It is in the best interests of SAIT, supervisors of research projects, new researchers and the scholarly/scientific community for those supervisors to carefully supervise and guide new researchers carrying out research projects. The complexity of scholarly and scientific methods, the necessity for caution in interpreting possibly ambiguous data, the need for advanced analysis and the variety of protocols for reporting research data all require those supervisors to take an active role in guiding new researchers.

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- b) Principal investigators and co-investigators who fail to exercise reasonable care in directing and supervising researchers who have committed misconduct in research or scholarship share accountability for that misconduct, and are subject to the measures set out in paragraph C.11 of this procedure.
6. This procedure applies to:
- a) Any research that occurs on premises controlled by SAIT or using SAIT resources or equipment.
 - b) Any research funded by grants provided to SAIT.

PROCEDURE

A. Authorship

1. Each listed author is expected to have made a significant intellectual or practical contribution to the research, to understand the significance of the conclusions and to be able to share responsibility for the reported data's content and reliability.
2. All authors listed should see and approve a manuscript before submission.
3. Honorary authorship is unacceptable.
4. Research terms and conditions for all those involved in a research team should be outlined in SAIT's contract before team members become engaged.
5. A gradual diffusion of responsibility for multi-authored or collaborative studies could lead to the publication of papers for which no single author is prepared to take full responsibility. Two safeguards in the publication of accurate reports are the active participation of each co-author in verifying the part of a manuscript that falls within each of their specialty areas, and the designation of one author who takes responsibility through reasonable care for the entire manuscript's validity.

B. Data Retention

1. A factor in many cases of alleged misconduct in research and scholarship has been the absence of a complete set of verifiable data. The retention by SAIT of accurately recorded and retrievable results is of utmost importance.

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- a) Wherever possible, all primary data should be recorded in clear, adequate, original and chronological form.
- b) In schools/departments where research is being conducted, a record of the primary data must be maintained in an office or the laboratory and cannot be removed.
- c) Original data for a given study should be retained in the unit of origin for at least five years after the work is published or otherwise presented (if the form of the data permits this, and if assurances have not been given that data would be destroyed to assure anonymity).
- d) Research supervisors and research collaborators should have unrestricted access to all data and products of their collaborative research.
- e) Entitlement to ownership of primary data, software and other products of research can vary according to the circumstances under which research is conducted and funded.
- f) A shared understanding about ownership should be reached among collaborators, especially between research supervisors and their students working on the project, before research is undertaken.
- g) Data will be managed by following data management best practices and principles that safeguard the data's integrity, security, ownership and access, and by following SAIT's information and technology management procedures, such as procedure AD.2.10.1 Password Protection.

C. Investigation of Scholarly Misconduct

1. A member of the SAIT community or any individual external to SAIT who believes that misconduct in research or scholarship has occurred at SAIT must forward the allegation to the vice president, academic. If the vice president, academic believes it is inappropriate to receive a particular complaint, the vice president, academic will refer the allegation to the vice president, corporate development, applied research and international. References in this procedure to the vice president, academic apply as applicable to the vice president, corporate development, applied research and international.

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2. The vice president, academic and the vice president, corporate development, applied research and international have the authority either independently or at the request of the Tri-Agency to take immediate action to protect SAIT and/or the administration of outside funds and to obtain/retain relevant documentation (for example, lab notes, electronic storage devices, proof of credentials) related to an investigation. This includes but is not limited to the authority to close down and declare "off limits" facilities used for research, freeze grant accounts, or require a second authorized signature from a SAIT representative on all expenses charged to a researcher's grant account.
3. The vice president, academic shall review the allegation.
 - a) The vice president, academic will provide written notice to the respondent within five business days of receiving the allegation.
 - b) The vice president, academic may refer the matter back to the applicable unit/program/school/department, in order to obtain further information.
 - c) If the allegation has insufficient substance to warrant investigation, the vice president, academic shall dismiss the allegation.
 - d) If the allegation has sufficient substance to warrant investigation, the vice president, academic shall establish an Investigative Committee (the "Committee") to determine whether misconduct in research and scholarship has occurred and the consequences of any such misconduct.
 - e) In the case of an anonymous allegation, the vice president shall establish the Committee if the allegation has sufficient information to allow the Committee to assess the allegation and the credibility of the facts and evidence on which the allegation is based, without the need for further information from the complainant.
4. The Committee shall consist of:
 - a) Two SAIT employees and one external researcher who are experienced in research and who are at arm's length from the complainant and the respondent; and
 - b) The vice president, academic, as the Committee's chair.

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5. During its investigation, the Committee has the right to:
 - a) Review all research and scholarly activity (including but not limited to any abstracts, papers or other methods of scholarly communication) in which the respondent has been involved during the time when the misconduct is alleged to have occurred.
 - b) Perform an audit of accounts on the respondent's sponsored research accounts.
 - c) Require individuals to prove their credentials.
 - d) See any SAIT documents.
 - e) Question any member of the SAIT community.
 - f) Seek impartial expert opinions, as necessary and appropriate.
6. The respondent has the right to:
 - a) Be made aware of the allegation and of who has made the allegation, except in the case of an anonymous allegation as per paragraph C.3.e) of this procedure.
 - b) Be accompanied by a supporter in any interview.
 - c) Respond to the allegation.
 - d) Appeal the outcome of the investigation, as per paragraph C.12 of this procedure.
7. The Committee shall complete its investigation, prepare a report and advise the complainant, the respondent, Employee Services (in the case of a respondent who is a SAIT employee) and the Office of the Registrar (in the case of a respondent who is a student) of the outcome of the investigation within 30 business days of the initial written notification to the respondent. This time may be extended if there are extenuating circumstances that require additional time for the investigation. If the complaint is founded, measures may be taken as per paragraph C.11 of this procedure.
8. If the Committee finds that the allegation is substantiated, the Committee may require actions to be taken to protect SAIT, including but not limited to:
 - a) Withdrawal of all pending relevant publications.

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- b) Notification of editors of publications in which the involved research was reported.
 - c) Informing the relevant units/programs/schools/departments about appropriate practices for promoting the proper conduct of research;
 - d) Informing any outside funding agency of the results of the inquiry and of actions to be taken.
9. The Committee's report shall set out the allegations that it investigated, summarize the steps it undertook in its investigation and the evidence it gathered and reviewed, and set out its findings and decisions. Individual identifiers shall be removed from the final version of the report and be maintained in a separate schedule that is not publicly accessible.
 10. The Committee's chair shall keep the report and all relevant documents in a secure location and for a period of time in compliance with SAIT's record management procedures.
 11. A member of the SAIT community who has been found to have breached this procedure shall be subject to measures as SAIT determines to be appropriate, including but not limited to corrective action as per the provisions of procedure HR.4.4.1 Corrective Action Procedures or to non-academic misconduct proceedings as per the provisions of procedure AC.3.4.1 Student Code of Conduct, as applicable.
 12. A respondent may appeal the Committee's decisions to Executive Management Council (EMC), in writing. A member of EMC who participated in the Committee's decision under appeal may not take part in EMC's hearing of and/or decision-making on the appeal.
 13. Where misconduct in research and scholarship has been found to have occurred, the investigative report and decision regarding discipline/remedies will be forwarded within 30 days of the Committee's decision to any granting council that has funded the research.
 14. In cases of collaborative research involving other institutions, it may be desirable to conduct either parallel investigations or a joint investigation with modifications made as required to this procedure. SAIT will cooperate fully with other institutions in such investigations.

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D. Protection from Retaliation and Complaints Made in Bad Faith

1. A member of the SAIT community who brings forward or who is involved in an allegation and/or investigation under this procedure will be protected from any form of retaliation by the respondent. Any such retaliation may result in consequences as set out in procedure HR.4.4.1 Correction Action Procedures or in the non-academic misconduct provisions of procedure AC.3.4.1 Student Code of Conduct, as applicable.
2. An allegation made in bad faith or to purposely annoy, embarrass or harm the respondent may result in the complainant being subject to consequences as set out in procedure HR.4.4.1 Correction Action Procedures or in the non-academic misconduct provisions of procedure AC.3.4.1 Student Code of Conduct, as applicable.

E. Annual Reporting

1. The vice president, academic shall publish annually a report summarizing the facts of cases of any scholarly misconduct and their disposition. A copy of this report is forwarded to the granting councils.

POLICY/PROCEDURE REFERENCE

AC.4.2 Research Integrity policy

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