



Memorandum

Research Integrity Office
3647 Peel Street, Room 105
Montreal , Quebec
Tel: number 0279

TO: Senate

FROM: Abraham Fuks, Research Integrity Officer

SUBJECT: Annual Report Concerning the Investigation of Research Misconduct

DATE: September 4, 2013

DOCUMENT #: D13-02

ACTION REQUIRED: INFORMATION APPROVAL/DECISION

ISSUE: An annual report submitted to Senate in accordance with the provisions of the *Regulations Concerning the Investigation of Research Misconduct*.

BACKGROUND & RATIONALE: According to article 10.6 of the *Regulations Concerning the Investigation of Research Misconduct*, the Research Integrity Officer is to provide an annual report to Senate and to the Board of Governors on the operation of the *Regulations*. The report includes the following:

- (i) the number of Research Misconduct allegations received;
- (ii) the number of Research Misconduct allegations investigated;
- (iii) a summary of the findings of the investigations conducted;
- (iv) a summary of any actions taken pursuant to the investigations.

MOTION OR RESOLUTION FOR APPROVAL: N/A

PRIOR CONSULTATION: N/A

NEXT STEPS: Report to the Board of Governors as required by the *Regulations*.

APPENDICES: Appendix A: *2012-2013 Annual Report: Regulations Concerning the Investigation of Research Misconduct*

**2012-2013 ANNUAL REPORT:
Regulations Concerning Investigation of Research Misconduct**

Introduction

The **Regulations Concerning the Investigation of Research Misconduct** (“the Regulations”) call for the Research Integrity Officer (“RIO”) to report annually to Senate and the Board of Governors on the application of the Regulations. This is the fourth annual report presented to Senate and the Board of Governors in discharge of this obligation.

Background

The Regulations provide for an internal process for the assessment and, where appropriate, the formal investigation of allegations of research misconduct brought against members of the University community regardless of faculty or discipline.

The tables below provide statistical information concerning allegations and their disposition for the four years the Regulations have been in operation – together with the year preceding the introduction of the new process, during which research misconduct allegations were addressed under faculty specific or ad hoc processes.

The Big Picture

As is evident from Table 1, the number of allegations submitted varies from year to year. Overall, there is an increased awareness on campus of these issues, with more informal consultations and continuing training for graduate students. The nature of the allegations received varies from year to year.

Table 1: Nature of Allegations

	2008	09/10	10/11	11/12	12/13	Total
Plagiarism & Authorship		3	2		1	6
Fabrication/ Falsification	1		4	5	1	11
Ethical Miscond		1		2		3
Misrep of Credentials.	1					1
Non-comp with SOP, etc.¹						
Total	2	4	6	7	2	21

The Source of Allegations

¹ Non-compliance with standard operating procedures

The sources of allegations have been various as shown in Table 2. The majority of the respondents have been academic staff, though graduate students have also been implicated.

Table 2: Source of Allegations

Source of Allegation	Year					
	2008	09/10	10/11	11/12	12/13	Total
Agency	1					1
Member of University	1	2	5	3	1	12
External		2	1	4	1	8
Anonymous						
Total	2	4	6	7	2	21

Actions in Response to Allegations

The actions in response to the allegations received are presented in Table 3.

Table 3: Actions in Response to Allegations

Nature of Complaint	Year	Total Cases	No Prima Facie Case	Investigated
Plagiarism & Authorship	2009-10	3	1	2
	2010-11	2	(1) ²	1
	2011-12			
	2012-13	1		1
Fabrication/ Falsification	2009-10			
	2010-11	4	1	(3) ³
	2011-12	5		5
	2012-13	1		1
Ethical Miscond.	2009-10	1		1
	2010-11			
	2011-12	2	2	
	2012-13			
Misrep. of Credentials	2009-10			
	2010-11			
	2011-12			
	2012-13			
Non-comp. with SOP, etc.	2009-10			
	2010-11			
	2011-12			

² One allegation was withdrawn after initial assessment

³ One allegation was adjudicated within a Faculty

Nature of Complaint	Year	Total Cases	No Prima Facie Case	Investigated
	2012-13			
Totals		19	5	14

Investigations have been completed in fourteen cases and research misconduct was established in eleven cases. Appropriate actions have been taken and where discipline was imposed, the sanctions ranged from reprimand to withdrawal.

Consultative Activities

In addition to the formal allegations noted above, the RIO opened two files and conducted several preliminary discussions with current or former members of the McGill community who were concerned about an issue of research misconduct, but for which no formal allegations of misconduct were submitted.

Conclusion

The RIO and University Administration would like to take this opportunity to thank all those who have served on, or cooperated with, investigation committees. All recognize the critical importance of such allegations and the major impact that they can have on the academic and professional lives of respondents. The dedication that committee members have exhibited in these important roles, the integrity with which they have fulfilled their responsibilities, and the time and energy they have devoted to ensuring a fair and impartial investigation of all the issues deserve commendation.