



Memorandum

Research Integrity Office
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TO: Senate

FROM: Abraham Fuks, Research Integrity Officer

SUBJECT: Annual Report Concerning the Investigation of Research Misconduct (2014-15)

DATE: October 21, 2015

DOCUMENT #: D15-10

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: The report will be submitted to the Executive Committee of the Board of Governors on October 30, 2015.

APPENDICES: Appendix A: 2014-2015 Annual Report: Regulations Concerning the Investigation of Research Misconduct

**2014-2015 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 (the “RIO”) to report annually to Senate and the Board of Governors on the application of the Regulations. This is the sixth 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 six years the Regulations have been in operation.

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

	9/10	10/11	11/12	12/13	13/14	14/15	Total
Plagiarism & Authorship	3	2		1	2	3	11
Fabrication/ Falsification		4	5	1	4	1	15
Ethical Miscond	1		2			2	5
Misrep of Credentials.							
Non-comp with SOP, etc.¹							
Total	4	6	7	2	6	6	31

¹ Non-compliance with standard operating procedures

The Source of Allegations

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							
	09/10	10/11	11/12	12/13	13/14	14/15	Total
Agency						2	2
Member of University	2	5	3	1	1		12
External	2	1	4	1	5	4	17
Anonymous							
Total	4	6	7	2	6	6	31

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
	2013-14	2		2
	2014-15	3		3
Fabrication/ Falsification	2009-10			
	2010-11	4	1	(3) ³
	2011-12	5		5
	2012-13	1		1
	2013-14	4	2	(2) ⁴
	2014-15	1		1
Ethical Misconduct	2009-10	1		1
	2010-11			
	2011-12	2	2	
	2012-13			
	2013-14			
	2014-15	2	1	1

² One allegation was withdrawn after initial assessment

³ One allegation was adjudicated within a Faculty

⁴ One investigation on hold pending legal process

Nature of Complaint	Year	Total Cases	No Prima Facie Case	Investigated
Misrep. of Credentials	2009-10			
	2010-11			
	2011-12			
	2012-13			
	2013-14			
	2014-15			
Non-comp. with SOP, etc.	2009-10			
	2010-11			
	2011-12			
	2012-13			
	2013-14			
	2014-15			
Totals		31	8	23

Investigations have been completed in twenty-three cases and research misconduct was established in fifteen. 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 five 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.