UNIVERSITY COUNCIL
RESEARCH, SCHOLARLY, AND ARTISTIC WORK COMMITTEE
REPORT FOR INFORMATION

PRESENTED BY: Marjorie Delbaere; chair, Research, Scholarly and Artistic Work Committee

DATE OF MEETING: October 15, 2020

SUBJECT: 2019/20 Report of Allegations and Breaches under the Responsible Conduct of Research Policy

COUNCIL ACTION: For Information Only

SUMMARY:

The Tri-Agency Framework on Responsible Conduct of Research mandates annual reporting on the total number of allegations received involving Agency funding, the number of confirmed breaches and the nature of those breaches. Previously breaches of the Responsible Conduct of Research Policy were reported through the annual report of the Vice-President Research to RSAW, but starting in 2019 they have been reported separately.

The attached report outlines the number of breaches and allegations under the Responsible Conduct of Research Policy for the period of July 1, 2019-June 30, 2020. RSAW reviewed this report at its meeting September 17, 2020.

ATTACHMENTS:
2. Responsible Conduct of Research - Allegations, investigations & Breaches 2013 to 2020
Responsible Conduct of Research Policy: 2019/20 Report on Allegations and Breaches

The Responsible Conduct of Research (RCR) Policy, requires an annual report to be provided to Council documenting the numbers of allegations received, the numbers of those proceeding to a hearing, and the numbers and nature of findings of a breach of this policy.

From July 1, 2019 to June 30, 2020, the Associate Vice-President Research received twelve (12) new allegations of breaches of the Responsible Conduct of Research (RCR) Policy, one (1) investigation from 2018 was concluded with a finding of no Breach and one (1) ongoing RCR investigation is currently in litigation (ongoing since 2012).

- one allegation was dismissed as it had already been the subject of a previous investigation;
- two allegations were resolved during the Inquiry stage;
  - one was closed due to insufficient evidence and one was resolved informally
- five breaches were confirmed by acknowledgment of the respondent;
- one breach was confirmed by hearing board;
- three investigations are ongoing.

The confirmed breaches include (some cases include multiple breaches):
- failure to comply with relevant policies (ethics) for the conduct of research (2 cases),
- misrepresentation in a funding application (2 cases),
- plagiarism (1 case)
- falsification of data (1 case)
- Fabrication of data (1 case).

The Outcomes/Discipline include:
- Ethics education - failure to comply with relevant policies (ethics) for the conduct of research.
- Withdrawal of funding applications, RCR Education, and oversight of grant applications for 1 year for misrepresentation in a funding application.
- Restrictions on activities, and salary impacts - plagiarism.
- Resignation, retraction of publications, placement of documentation in USask employee file to inform future hiring – fabrication and falsification.

Complainants submitting allegations included:
- Students - 4 cases,
- Faculty members - 2 cases,
- Administrative offices -2 cases,
- Ethics -2 cases,
- Post Doc -1 case,
- Research Associate -1 case
- outside the University – 2 cases

Respondents to the allegations included:
- Faculty members - 12 cases,
- Post Doc – 2 cases
- Group of student, faculty member and adjunct faculty – 1 case.
## Responsible Conduct of Research - Allegations, investigations & Breaches 2013 to 2020

<table>
<thead>
<tr>
<th>Time Period</th>
<th>New Allegations Received</th>
<th>Breaches Acknowledged*</th>
<th>Cases Investigated</th>
<th>No Breach</th>
<th>Allegation Type</th>
<th># of cases involving breaches</th>
</tr>
</thead>
<tbody>
<tr>
<td>06/2013 to 06/2014</td>
<td>3</td>
<td>N/A</td>
<td>3</td>
<td>1</td>
<td>3 plagiarism 1 redundant publication</td>
<td>2</td>
</tr>
<tr>
<td>06/2014 to 06/2015</td>
<td>3</td>
<td>N/A</td>
<td>3</td>
<td>Not reported</td>
<td>3 plagiarism 1 redundant publication</td>
<td>Not reported</td>
</tr>
<tr>
<td>06/2015 to 06/2016</td>
<td>9</td>
<td>N/A</td>
<td>2</td>
<td>7 plus 1 from previous year</td>
<td>Not reported</td>
<td>0</td>
</tr>
<tr>
<td>06/2016 to 06/2017</td>
<td>1</td>
<td>N/A</td>
<td>1</td>
<td>0</td>
<td>Not reported</td>
<td>0</td>
</tr>
<tr>
<td>06/2017 to 06/2018</td>
<td>6</td>
<td>N/A</td>
<td>2</td>
<td>2</td>
<td>Not reported</td>
<td>0</td>
</tr>
<tr>
<td>06/2018 to 06/2019</td>
<td>4</td>
<td>N/A</td>
<td>3</td>
<td>3</td>
<td>Not reported</td>
<td>0</td>
</tr>
<tr>
<td>06/2019 to 06/2020</td>
<td>12</td>
<td>5</td>
<td>1</td>
<td>1 from previous year</td>
<td>failure to comply with relevant policies (ethics) for the conduct of research (2), misrepresentation in a funding application (2), plagiarism (1), falsification of data (1), Fabrication of data (1).</td>
<td>6</td>
</tr>
</tbody>
</table>

Data extracted from RSAW Committee Annual Reports to Council; June 2013 to June 2019.

*Acknowledgement of a Breach not offered as an outcome prior to 2019.