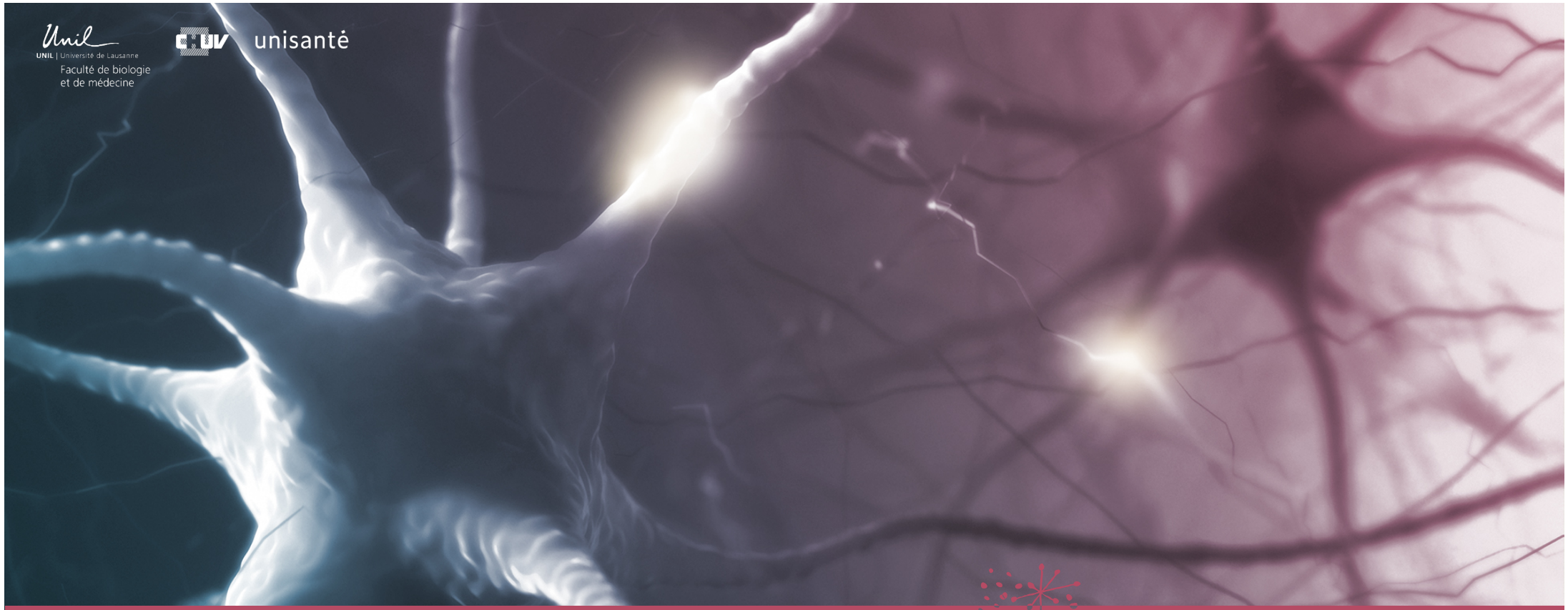

Fraud at FBM: statistics, case studies & how to react

CIG, February 28th 2020

FBM

faculté de biologie et de médecine

History at FBM

In accordance with the recommendations of the SAAS edited in 2005 the University of Lausanne introduced a procedure to follow in case of suspected scientific fraud.

« Directive de la Direction 4.2 de l'UNIL »

Coming into force in September 2006

Swiss academies of arts and sciences

Two entrances

Researchers of our Faculty can turn to a local **Ombudsman** who is a contact, advice and arbitration person in **simple or minor cases**.

Prof. Fred Paccaud

In the case of a **whistleblower** report, the **local scientific integrity commissioner** will carry out the procedure to conduct a preliminary review.

Prof. Stephanie Clarke

Statistics from 2006 to 2019: Ombudsman involvement

Number	Theme of the interventions
20	Authorship
3	Authorship and Intellectual Property
1	Conflict of Interest and Ethics
4	Interpersonal conflict
5	Scientific fraud **Three of which lead to an investigation**
6	Plagiarism
1	Collaboration problem (clinical study)

40 interventions in 14 years

23 for reasons of authorship

6 for plagiat

5 for failure to scientific integrity

3 that led to an investigation by the integrity commissioner

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Statistics 2006 - 2019: involvement of the integrity commissioner

Year	Problem / Conflit	Committee*	Result
2013	Producing results	NO	**YES (1)**
2016	Handling or Producing results	**YES (2)**	NO
2017	Making and inventing results	**YES (3)**	**YES (3)**
2017	Irregularity in results	NO	In progress
2018	Irregularity in results	NO	NO
2018	Irregularity in figures	NO	NO
2018	Deliberate retention of research funds	NO	In progress
2018	Interpersonal conflicts	NO	In progress HR
2018	Interpersonal conflicts	NO	In progress HR
2019	Authorship and Intellectual Property	NO	NO
2019	Authorship and access to data	NO	NO
2019	Deliberate suppression of results and authorship	NO	NO
2019	Irregularity in figures	NO	NO
2019	Authorship	?	In progress

14 cases in 7 years

3 positive results : confirmed scientific misconduct

2 of which led to the setting up of an ad hoc committee by the integrity commissioner

Half : irregularities or "fabrications" of results

4 : authorship

Committee*: it was necessary to set up a Committee to investigate

Statistics 2006 - 2019: involvement of the integrity commissioner

Year	Problem / Conflit	Committee*	Result	Proceeding
2013	Fabrication of results	NO	**YES (1)**	**Over**
2016	Manipulation or fabrication of results	**YES (2)**	NO	**Over**
2017	Fabrication and invention of results	**YES (3)**	**YES (3)**	**pending**

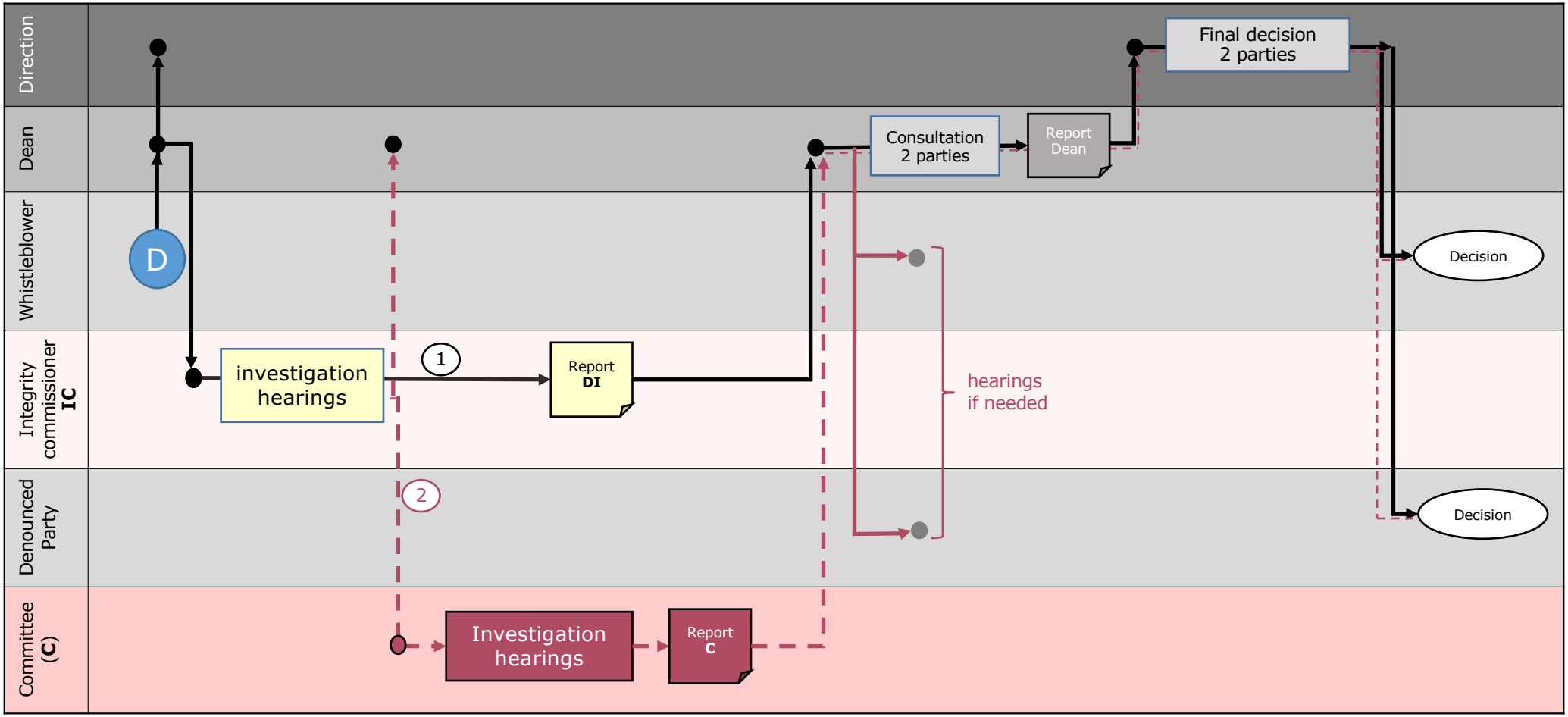
Commission*: it was necessary to set up a Fact-finding Commission to investigate

(1) : the fabrication results was confessed by the accused person.

(2) : the **integrity commissioner** had to set up a "Fact Finding" Committee which found that there was no deliberate intent of the accused person to manipulate or fabricate results.

(3) : pending

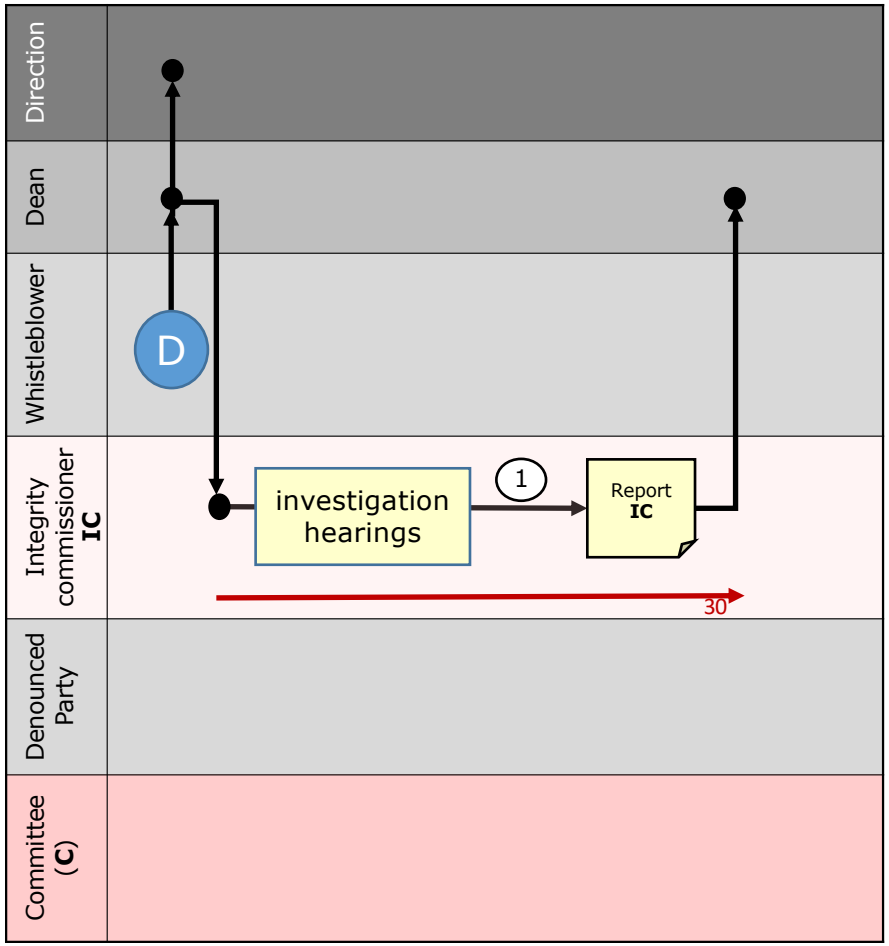
Process according to the Directive 4.2



D Denunciation

Committee (C) : Fact-finding

How to proceed (1)

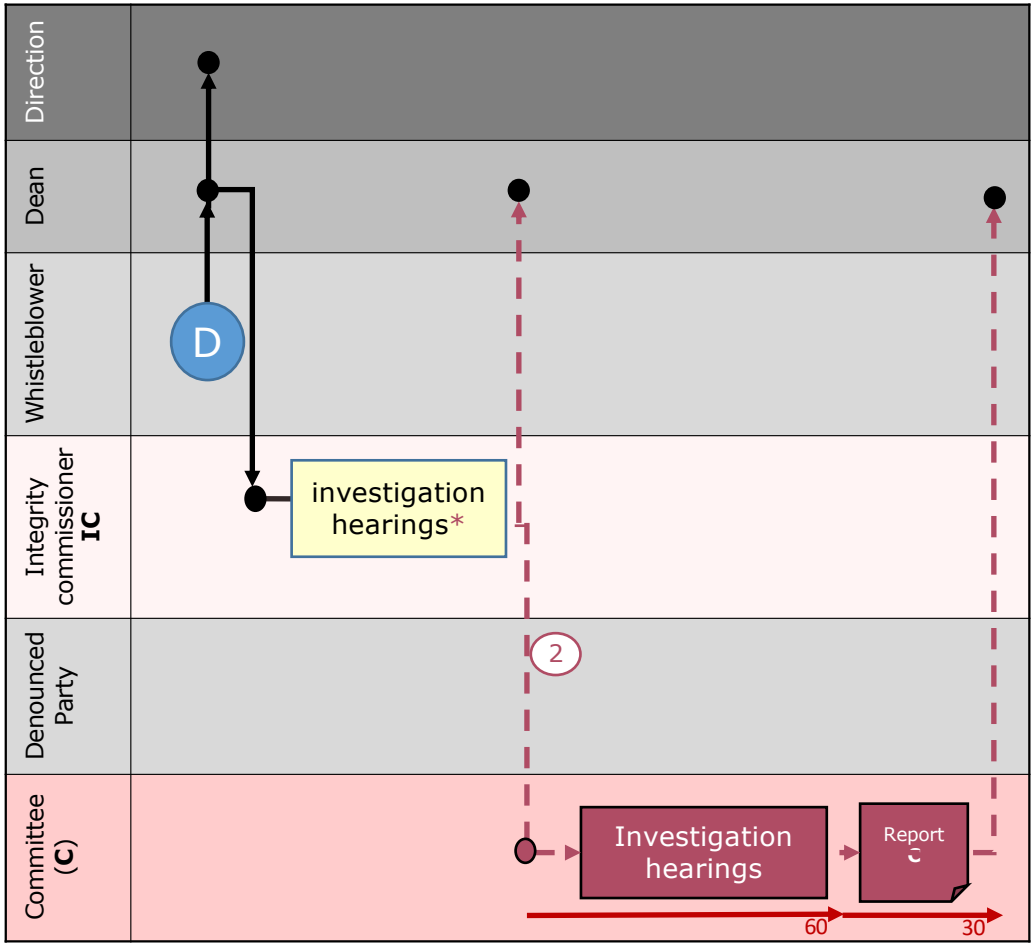


	Steps	Description (1)
1	Denunciation (D)	Reception by the **Dean** => transmit copy Direction and transmit to the IC
2	Reception IC	Open the procedure **(30 days)**
3	Hearing 2 parties	Whistleblower and denounced part witness if necessary
4	Preliminary exam	Analyzing the results of the hearings => **report or if it is necessary to investigate (Process 2)**
5	**Report**	Close the file (D unfounded) Settle amicably (D of minor importance)
6	Transmission of the report to the **Dean**	

D Denunciation

Committee (C) : Fact-finding

How to proceed ②



***necessary to investigate (Process 2)**

	Steps	Description (2)
1	Designation Committee	IC designates the Committee informs the Dean
2	IC transmit to Committee	Committee opens the procedure **(60 days)**
3	Hearing 2 parties	Whistleblower and denounced part
4	Investigation	Request additional investigative acts (supporting documents, ...)
5	**Report**	Recommendations to solve the case **(30 days)**
6	Transmission of the report to the **Dean**	

D Denunciation

Committee (C) : Fact-finding

En of the process

Report (IC or C) transmitted to the **Dean**

Dean

The Dean prepares a report for the Direction to close the file

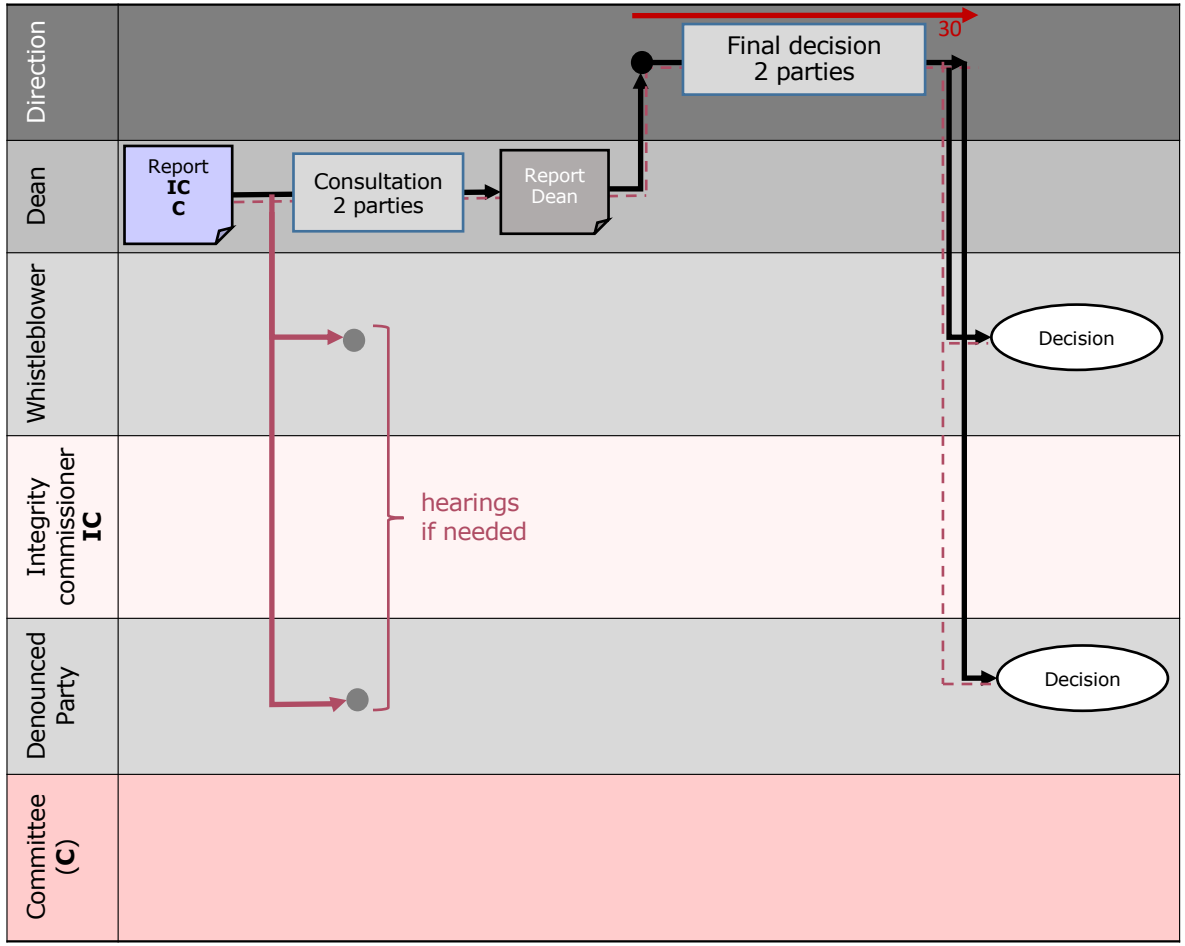
(Hearings with both parties if necessary)

Report:

who is the author of the breach of scientific integrity and what the fraudulent behaviour or misconduct consists of.

Direction (30 jours)

Direction receives the Dean's report and notifies the final decision to the denounced party (including sanctions and remedies). Communicates it to the whistleblower.



D Denunciation

Committee (C) : Fact-finding

Necessary revision of the « Directive de l'UNIL »

- Responsibility for monitoring at the level of the integrity commissioner
- Avoid exchanges between the Dean and the Direction
- Respecting the right to be heard
- Respect for transparency (receive documents; denunciation, minutes, reports)
- Equal treatment
- Ensure transparency
- Increase rigour (audition - signing minutes, right of challenge "récusation")
- **Role of the Integrity Officer** (link with the Commission and its report ; transmit the final decision)
- **Role of the Dean** (not involved in the process; transmit the denunciation to the integrity commissioner)

Questions