PRACTICING INTEGRITY

CENTRE FOR HIGHER EDUCATION FUTURES

Mapping the European Integrity Landscape

Rachel Douglas-Jones and Sue Wright

Practicing Integrity Workshop
October 27, 2017

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American Prehistory

- The adversarial 1980s
- Series of falsification and fabrication scandals in the USA
- Desire to legislate against fraud
- Recourse to the self-correcting nature of science

quality ass
benchm

codes of go

The Early Days
Research Integrity in Europe

- 2000: Survey on scientific misconduct & ALLEA's role
- Focus on
  - **Fraud** (fabrication, falsification, selective use of data)
  - **Deceit** (questionable methodology, negligence in sampling, inaccurate rendition)
  - **Infringement of IPR** (pinching ideas, plagiarism)

2000: **ESF Policy Briefing no. 10** recommends national codes of good scientific practice and scholarship, and national procedures for handling cases

European Science Foundation Policy Briefing

Good scientific practice in research and scholarship

December 2000

10

Foreword

ESF statement

2003: Memorandum on Scientific Integrity

To promote the application of general standards of conduct to research, and the way infringements of those standards should be dealt with.

- Professional scientific conduct
- Examples of infringement of scientific integrity
- Prevention (training, awareness, protocols)
- Responsibilities (researcher, coordinators, institute)
- Notification of cases
- On National Committees
- Sanctions

2007: World Conference on Research Integrity

2007: 275 participants, 47 countries

EUROPEAN SCIENCE FOUNDATION
SETTING SCIENCE AGENDAS FOR EUROPE

ORI
OFFICE OF RESEARCH INTEGRITY
U.S. Department of Health and Human Services

SCIENCE POLICY BRIEFING • December 2007 30

Research Integrity: global responsibility to foster common standards

2017: 800+ participants, 60 countries

2008: Stewards of Integrity - Institutional Approaches to Promote and Safeguard Good Research Practice in Europe

Survey, 32 European countries

- codes and guidelines to promote good research practice
- activities and policies of institutions with research integrity responsibility
- explicit procedures to handle allegations

Is misconduct a growing problem? "yes"

* Universities not included in report (49)

Singapore Statement on Research Integrity

Preamble. The value and benefits of research are vitally dependent on the integrity of research. While there can be and are national and disciplinary differences in the way research is organized and conducted, there are also principles and professional responsibilities that are fundamental to the integrity of research wherever it is undertaken.

PRINCIPLES

Honesty in all aspects of research
Accountability in the conduct of research
Professional courtesy and fairness in working with others
Good stewardship of research on behalf of others

RESPONSIBILITIES

1. Integrity: Researchers should take responsibility for the trustworthiness of their research.

2. Adherence to Regulations: Researchers should be aware of and adhere to regulations and policies related to research.

3. Research Methods: Researchers should employ appropriate research methods, base conclusions on critical analysis of the evidence and report findings and interpretations fully and objectively.

4. Research Records: Researchers should keep clear, accurate records of all research in ways that will allow verification and replication of their work by others.

5. Research Findings: Researchers should share data and findings openly and promptly, as soon as they have had an opportunity to establish priority and ownership claims.

6. Authorship: Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. Lists of authors should include all those and only those who meet applicable authorship criteria.

7. Publication Acknowledgement: Researchers should acknowledge in publications the names and roles of those who made significant contributions to the research, including writers, funders, sponsors, and others, but do not meet authorship criteria.

8. Peer Review: Researchers should provide fair, prompt and rigorous evaluations and respect confidentiality when reviewing others' work.

9. Conflict of Interest: Researchers should disclose financial and other conflicts of interest that could compromise the trustworthiness of their work in research proposals, publications and public communications as well as in all review activities.

10. Public Communication: Researchers should limit professional comments to their recognized expertise when engaged in public discussions about the application and importance of research findings and clearly distinguish professional comments from opinions based on personal views.

11. Reporting Irresponsible Research Practices: Researchers should report to the appropriate authorities any suspected research misconduct, including fabrication, falsification or plagiarism, and other irresponsible research practices that undermine the trustworthiness of research, such as carelessness, improperly listing authors, failing to report conflicting data, or the use of misleading analytical methods.

12. Responding to Irresponsible Research Practices: Research institutions, as well as journals, professional organizations and agencies that have commitments to research, should have procedures for responding to allegations of misconduct and other irresponsible research practices and for protecting those who report such behavior in good faith. When misconduct or other irresponsible research practice is confirmed, appropriate actions should be taken promptly, including correcting the research record.

13. Research Environments: Research institutions should create and sustain environments that encourage integrity through education, clear policies, and reasonable standards for advancement, while fostering work environments that support research integrity.

14. Societal Considerations: Researchers and research institutions should recognize that they have an ethical obligation to weigh societal benefits against risks inherent in their work.

The Singapore Statement on Research Integrity was developed as part of the 2nd World Conference on Research Integrity, 21-24 July 2010, in Singapore, as a global guide to the responsible conduct of research. It is not a regulatory document and does not represent the official policies of the countries and organizations that funded and/or participated in the Conference. For official policies, guidance, and regulations relating to research integrity, appropriate national bodies and organizations should be consulted. Available at: www.singaporestatement.org

2010: 2nd World Conference on Research Integrity (Singapore)

- Launch of the European Code of Conduct for Research Integrity, imagined as precursor to global agreement

2011: ESF/ALLEA European Code of Research Integrity

14 pages

1. Executive Summary (Principles, misconduct and Good Research Practices)
2. The Code
   2.1 Code of Conduct (Preamble; Code of Conduct)
   2.2 Background and Elucidation (Nature of science; Science and Ethics; Integrity in science - principles; Integrity in science and scholarship-misconduct; Good practices.
   2.3 Guidelines for Good Practice Rules
   2.4 Internationally Collaborative Research
   2.5 Annexes (Principles for Investigating Misconduct; Boilerplate text for International Agreements)

- A "canon for self-regulation with clear recommendations", a "Europe-wide agreement on a set of principles and priorities for the research community"
- Human curiosity and science are borderless, and so must be the policies that surround them

Makarow and Engelbrecht 2011: 3

ALLEA's Permanent Working Group on Science and Ethics

ethical considerations have been an **essential component in the consolidation of a united Europe**, and also in the creation of ALLEA, the [Permanent Working Group on Science and Ethics] was established to bring together experts from academies across Europe and provide them with a p**latform for continuous debate**

ALLEA 2017:12

- A living document, to be revised every 3-5 years to take new issues into consideration

On Revising the Code: Maura Hiney at #WCRI17

- The heterogeneity in policies is really a reflection of heterogeneity in the European landscape

With so much heterogeneity across Europe, (how) can we harmonise understanding of good practice, process, policies and curricula?

2017: ALLEA European Code of Conduct for Research Integrity

3 Sections (7 pages, incl. preamble)

1. **Principles** (reliability, honesty, respect, accountability)
2. **Good Research Practices** (environment, training, procedures, safeguards, data management, collaboration, publication, reviewing and editing)
3. **Violations** (misconduct, dealing with allegations)

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Code of
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European debate

National codes
Institutional policy

National processes

European Futures

- In comparison with 2000, we now have a plethora of international and national statements
- The World Conference series attempts to convene a Global Fora for discussing matters of research integrity
- There is a highly active publication landscape (multiple new documents in 2017)
- More attention is being paid to the environment, role of institutions and universities.

"The research process goes beyond the actions of individual researchers. Research institutions, journals, scientific societies, and other parts of the research enterprise all can act in ways that either support or undermine integrity in research."

Nerem, 2017, on occasion of US-NAS Report,
Fostering Integrity in Research

institutional integrity

interests

misconduct

professional scientific conduct

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quality assurance
benchmarks

misconduct

codes of good practice

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standards of good research practice

mechanisms

responsibilities

global agreements

Integrity -
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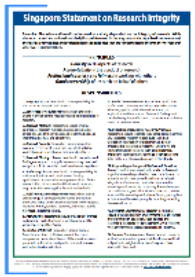

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code of conduct

europe wide

environment

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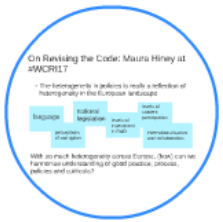
respect

reliability

stakeholders

honesty



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