

# Science Europe:

*Shaping tomorrow's research integrity:  
policies and processes in European  
research funding organisations and  
research performing organisations*

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Science Europe Working Group on Research Integrity

5<sup>th</sup> World Conference on Research Integrity

Amsterdam, 28 - 31 May 2017

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# About Science Europe

- ▶ An association of major public research organisations in Europe: Research Funding Organisations and Research Performing Organisations with a public mission
- ▶ Founding General Assembly, Berlin, October 2011
- ▶ 43 RFOs and RPOs from 27 countries, representing c.€30bn per annum (2017)
- ▶ Policy organisation, no programme management
- ▶ Role:
  - ▶ Collaboration platform
  - ▶ Think-tank for science policy issues
  - ▶ Advocacy and interest representation

# Members of Science Europe: Country Coverage

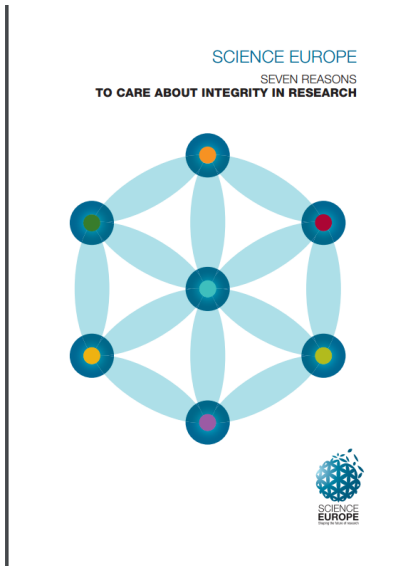


# SE Working Group on Research Integrity

- ▶ Established by Science Europe in 2013
- ▶ First 'kick-off' meeting, May 2013
- ▶ RI included as one of nine 'Priority Action Areas' in the SE Roadmap, December 2013
- ▶ Three-year mandate, extended by one year (to March 2017)
- ▶ WG (2014/15): 27 members from ROs in 21 countries
- ▶ Survey – undertaken spring 2014
  - first report 4<sup>th</sup> World Congress, Rio, 2 June 2015
  - full report published 5 July 2016\*
  - workshop, Brussels, 22 February 2017
- ▶ (+ several other outputs)

\* <http://scieur.org/integrityreport>

# Science Europe on Research Integrity



June 2015

December 2015



July 2016

Workshop:  
February 2017

Science Europe is a non-profit organisation based in Brussels representing major Research Funding and Research Performing Organisations across Europe. For more information on its mission and activities, see [www.science-europe.org](http://www.science-europe.org). To contact Science Europe, e-mail [office@science-europe.org](mailto:office@science-europe.org).

## Workshop Programme

Advancing Research Integrity Practices and Policies: from Recommendation to Implementation

**When** Background of the Workshop

21 February 2017 In July 2016, Science Europe released its Survey Report 'Research Integrity Practices in Science Europe Member Organisations' ([http://science-europe.org/sites/default/files/2016-07/RI\\_Report.pdf](http://science-europe.org/sites/default/files/2016-07/RI_Report.pdf)). The report encompasses a set of 10 recommendations in four categories: Policies and Procedures; Rating; Awareness; Training; and Collaboration and Mobility.

22 February 2017 Workshop: 09:00-11:00

**Where**

Thon Hotel EU  
Rue de la Loi 75  
1040 Brussels (Belgium)

**Objectives of the Workshop**

This Science Europe workshop programme provides the implementation of the report's recommendations. It will also explore the challenges of taking them forward for both Science Europe Member Organisations and for research institutions in general.

The workshop programme is structured so that recommendations under each of the four identified categories will be discussed.

**Targeted Audience**

The workshop will bring together members of the Science Europe Working Group on Research Integrity, senior officials from Science Europe Member Organisations and representatives of bodies and initiatives advancing research integrity policies and practices at the European level.

Tweet about this event: [@ResearchIntegrity](https://twitter.com/ResearchIntegrity)  
Follow us on Twitter: [@ScienceEurope](https://twitter.com/ScienceEurope)

# Survey – aim and methods

- ▶ Goal: to provide data and recommendations to the SE members
- ▶ Six weeks, spring 2014
- ▶ Addressed to members of Science Europe: at that time 52 RFOs and RPOs (“ROs”)
- ▶ ca. 34 main questions
- ▶ Answered by 27 respondents, representing 33 members

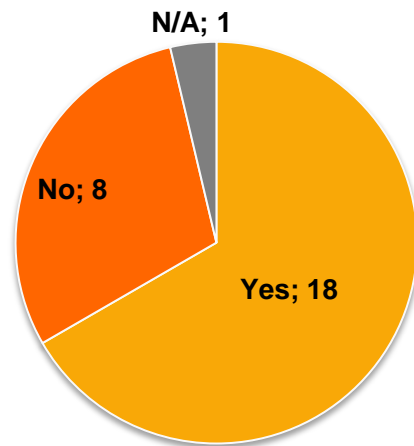
# Survey - coverage

- ▶ **Definitions of research integrity**
- ▶ **Policies and instruments**
- ▶ Raising awareness and commitments to research integrity
- ▶ Support for training
- ▶ Legal instruments
- ▶ Mobility
- ▶ Whistle-blowers
- ▶ Sanctions for research misconduct
- ▶ Appeal
- ▶ **Number of cases and trends**
- ▶ Processes and initiatives to strengthen collaboration
- ▶ Self-assessment

# Definition of research integrity

Does your organisation have a definition of research integrity?

- ▶ A basis for developing a policy and regulation
- ▶ Yes: 18; No: 8; Not applicable: 1





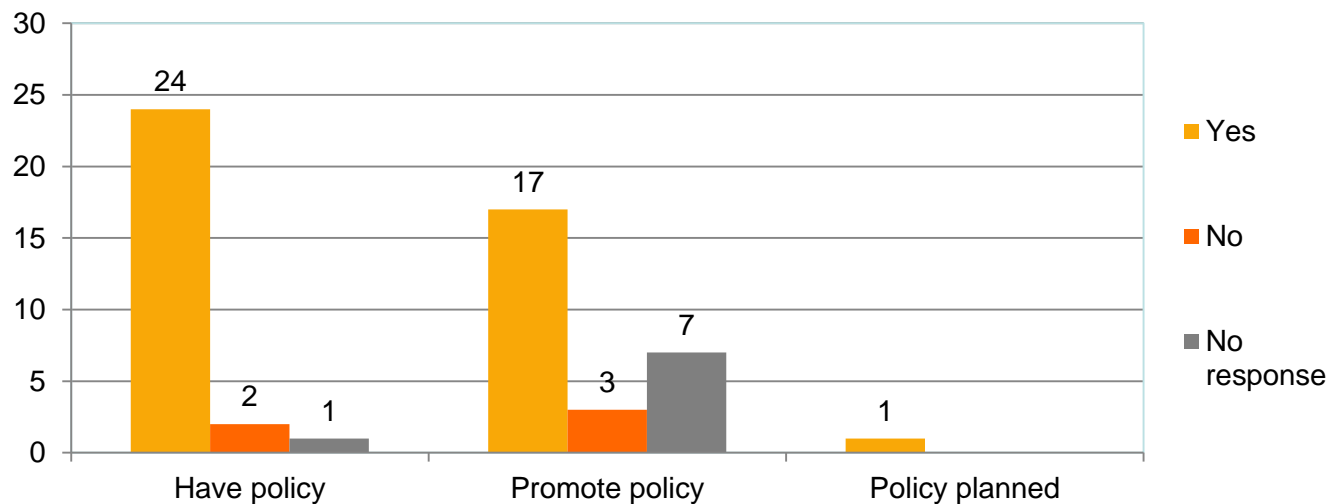
# Research Integrity Policy and Instruments - 1

Does your organisation, and/or any other organisations or authority in your country, state or region, have a policy or similar instrument on research integrity?

▶ Yes: 24; No: 2 (though one was planning to); no response: 1

Does your organisation promote its policy (or similar instrument)?

▶ Yes: 17; No: 3; no response: 7



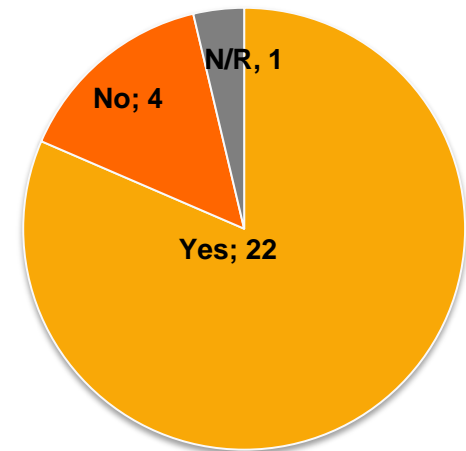
# Research Integrity Policy and Instruments - 2

Does your organisation promote its policy, or similar instrument, on research integrity?

▶ Yes: 17; No: 3; no response: 7

Does your organisation publish its research integrity policies and/or processes on its website?

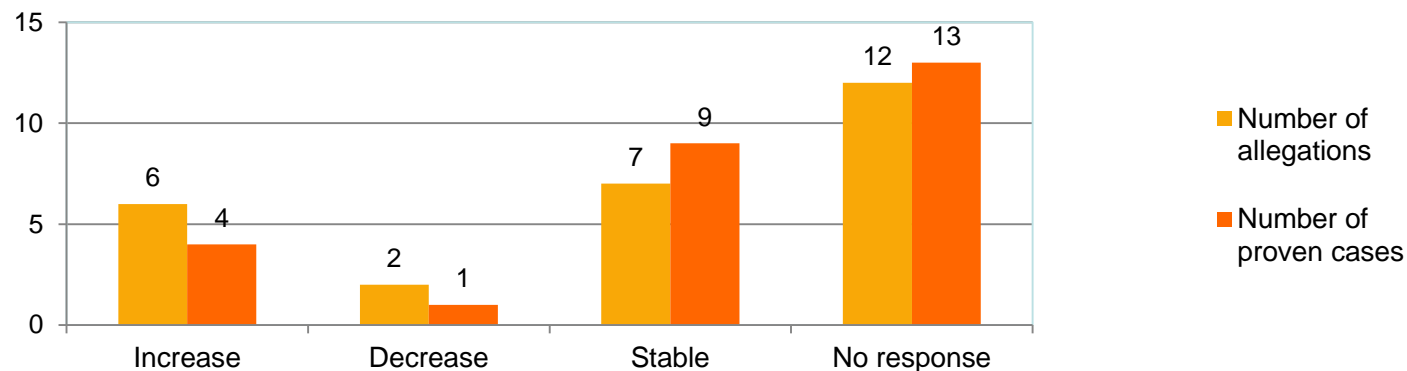
▶ Yes: 22; No: 4; no response: 1



# Number of cases and trends

Information requested in the survey, but.....

- ▶ Likely lack of awareness of allegations/proven cases
- ▶ Data not substantial enough to publish numbers or draw conclusions
- ▶ Trends in proven cases:
  - ▶ Increase: 4; decrease: 1; stable: 9; no response 13
  - ▶ Trends may reflect changes in reporting, rather than actual numbers



# Policies & Procedures - recommendations

1. As a basis for research integrity policies and procedures, RFOs and RPOs should clearly describe what they mean by research integrity.
2. Both RFOs and RPOs should develop a policy on research integrity which includes promotion of good research practice, clear procedures for dealing with allegations of research misconduct and a description of the possible sanctions that can be employed in proven cases of misconduct.
3. RFOs and RPOs should have a published policy that protects employees from disciplinary action where they raise concerns about alleged misconduct. The types of misconduct covered should be described within the policy.
4. RPOs and/or Regulators should aim to make public the outcomes of all proven cases of research misconduct; ideally this should include the names of the researchers involved, but this will need to be considered on a case-by-case basis.
5. RFOs and RPOs should also support the central collection of data on research integrity, including data on cases – either under investigation or proven.

# Workshop 'Advancing Research Integrity Practices and Policies: from Recommendation to Implementation', Brussels, 22 Feb 2017

## Objectives

- ▶ to promote the implementation of the report's recommendations;
- ▶ to explore the challenges of taking them forward for both Science Europe Member Organisations and for research institutions in general.

Covered: Policies and Procedures, Raising awareness and training, Collaboration and mobility

Programme based around case studies

42 invited participants from 17 countries

Report - available on Science Europe website\*

\* <http://scieur.org/integrity-practices>

# Policies and Procedures – Definitions & Processes

Highlighted the difficulties of adopting clear definitions, ensuring that processes were consistent across organisations, and that researchers were aware of them.

- ▶ All stakeholders need to be clear about their own responsibilities and agree on general principles
- ▶ Institutions should take the lead in developing their processes
- ▶ In developing procedures within countries, the different disciplinary cultures and their different approaches should be taken into account
- ▶ Research funders' routine financial audits could be extended to non-financial risks

# Policies and Procedures – Whistle-blowers

Some suggestions:

- ▶ Terminology - ‘witness’ better
- ▶ Appoint an external (independent) ombudsman
- ▶ Provide extra support for PhD students/junior staff
- ▶ Ensure associated parties who are innocent are publicly absolved of guilt by association

# Policies and Procedures – Making information about misconduct available

- ▶ Openness is very important in order to protect those surrounding the accused, and to clear the name of any innocent parties
- ▶ Research that is compromised should be made public, including the reasons why it has been compromised – integrity of the scientific record
- ▶ Journals should identify the reasons for retraction (as some retractions are the result of genuine mistakes)
- ▶ Public naming and shaming should be avoided
- ▶ Once a case is proven, funders/publishers/institutions should be informed so that they may implement their own processes
- ▶ National Research Integrity Offices or committees should maintain a database of proven cases



# Further Information

[www.scienceeurope.org](http://www.scienceeurope.org)

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SCIENCE EUROPE

Shaping the future of research

### Policy at Science Europe

The Research Funding and Research Performing Organisations that make up Science Europe share... [read more](#)

### Membership

Science Europe is fully funded by its Member Organisations, which are Research Funding and Research Performing Organisations within European countries... [read more](#)

### About Us

Science Europe is an association of European Research Funding Organisations (RFO) and Research Performing Organisations (RPO), based in Brussels. Its founding General Assembly took place in Berlin in October 2011.

#### Mission

Science Europe promotes the collective interests of the Research Funding and Research Performing Organisations of Europe. It supports its Member Organisations in their efforts to foster European research. It will strengthen the European Research Area (ERA) through its direct engagement with key partners. In doing so it will be informed by direct representation of all scientific communities in its reflections on policies, priorities and strategies.

It works and partners with other entities such as the European Universities, the European Academies, the European Scientific Intergovernmental Organisations and the European Commission to develop a coherent and inclusive ERA... [read more](#)

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European Commission Consultation on Simplification in Horizon 2020... [read more](#)

[Documents](#)

(11 February 2016) The workshop report on 'The Relationship between Food, Health and the Environment - a European Perspective' is out... [read more](#)

# Science Europe in a nutshell

- ▶ Association of major public research organisations in Europe: Research Funding Organisations and Research Performing Organisations with a public mission
- ▶ 43 member organisations from 27 countries
- ▶ Policy organisation, no programme management
- ▶ Role:
  - ▶ Collaboration platform
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# Members of Science Europe 2017

▶ <b>Austria</b>	FWF	▶ <b>Latvia</b>	LZP
▶ <b>Belgium</b>	FWO, FNRS	▶ <b>Lithuania</b>	LMT
▶ <b>Bulgaria</b>	BAS	▶ <b>Luxembourg</b>	FNR
▶ <b>Croatia</b>	HRZZ	▶ <b>Netherlands</b>	NWO
▶ <b>Czech Republic</b>	GAČR	▶ <b>Norway</b>	RCN
▶ <b>Denmark</b>	DFF/DCIR, DG	▶ <b>Poland</b>	NCN
▶ <b>Estonia</b>	ETAG	▶ <b>Portugal</b>	FCT
▶ <b>Finland</b>	AKA	▶ <b>Slovakia</b>	APVV, SAV
▶ <b>France</b>	ANR	▶ <b>Slovenia</b>	ARSS
▶ <b>Germany</b>	DFG, MPG, WGL	▶ <b>Spain</b>	CSIC
▶ <b>Hungary</b>	MTA	▶ <b>Sweden</b>	FORMAS, FORTE, VR
▶ <b>Iceland</b>	Rannís	▶ <b>Switzerland</b>	SNSF
▶ <b>Ireland</b>	HRB, Irish Research Council, SFI	▶ <b>United Kingdom</b>	AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC
▶ <b>Italy</b>	CNR, INFN		