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

5th 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 <u>Funding</u> Organisations and Research <u>Performing</u> 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

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Members of Science Europe: Country Coverage
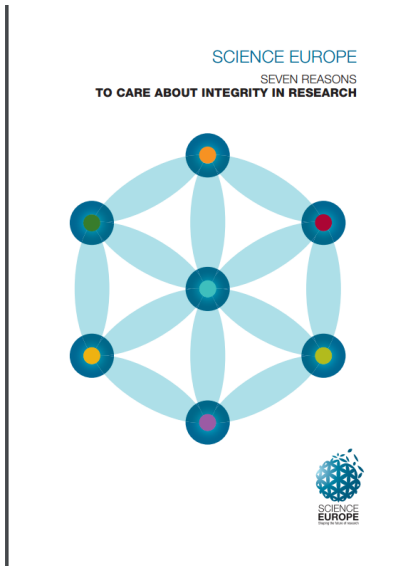
SE Working Group on Research Integrity

- 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 4th 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

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

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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
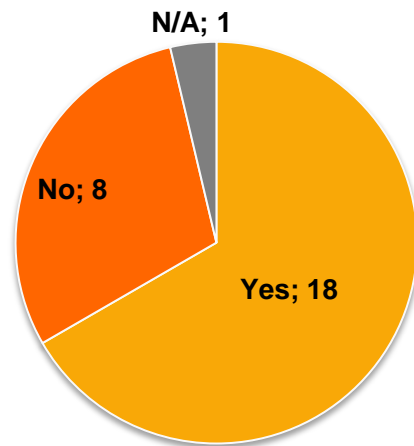
Research Integrity Policy and Instruments - 1

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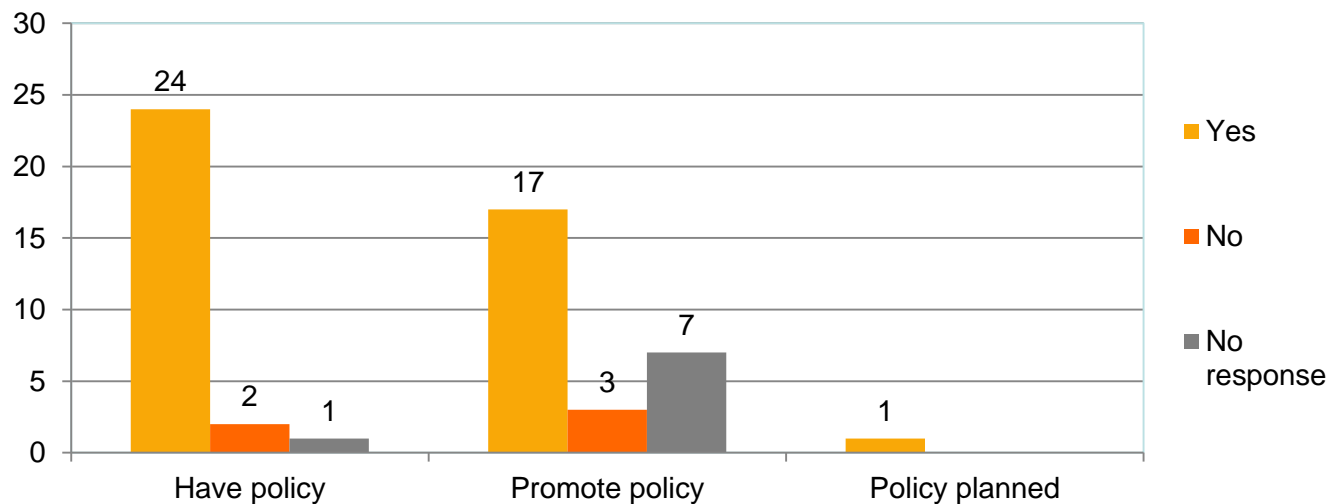
▷ Yes: 24; No: 2 (though one was planning to); no response: 1

Does your organisation promote its policy (or similar instrument)?
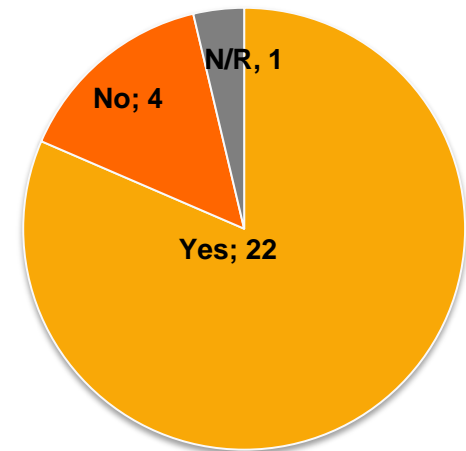
▷ Yes: 17; No: 3; no response: 7

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

Legend:
- Number of allegations (orange)
- Number of proven cases (red)

Chart values:
- Increase: 6, 4
- Decrease: 2, 1
- Stable: 7, 9
- No response: 12, 13
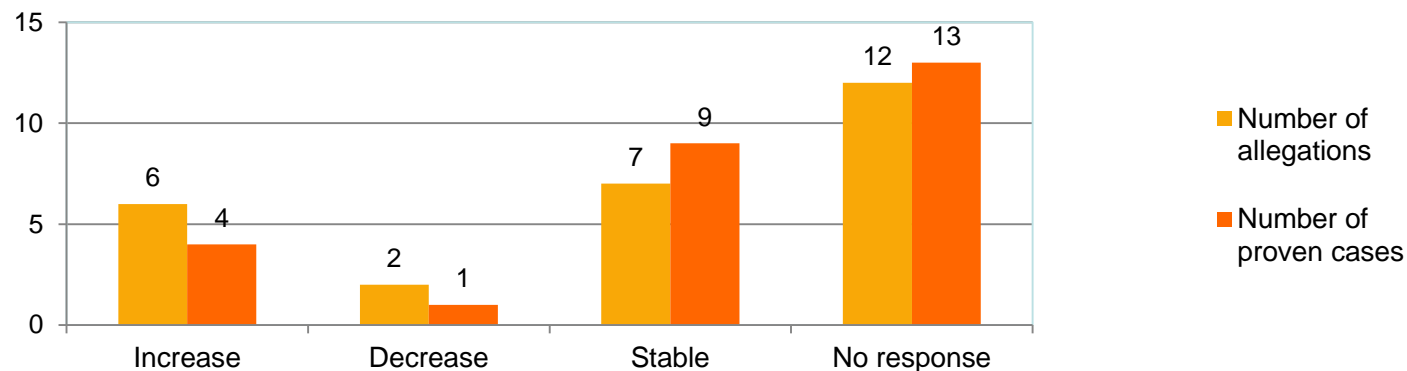
Policies & Procedures - recommendations

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

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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

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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

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Science Europe in a nutshell

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▶ 43 member organisations from 27 countries

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Members of Science Europe 2017

- **Austria** FWF
- **Belgium** FWO, FNRS
- **Bulgaria** BAS
- **Croatia** HRZZ
- **Czech Republic** GAČR
- **Denmark** DFF/DCIR, DG
- **Estonia** ETAG
- **Finland** AKA
- **France** ANR
- **Germany** DFG, MPG, WGL
- **Hungary** MTA
- **Iceland** Rannís
- **Ireland** HRB, Irish Research Council, SFI
- **Italy** CNR, INFN

- **Latvia** LZP
- **Lithuania** LMT
- **Luxembourg** FNR
- **Netherlands** NWO
- **Norway** RCN
- **Poland** NCN
- **Portugal** FCT
- **Slovakia** APVV, SAV
- **Slovenia** ARSS
- **Spain** CSIC
- **Sweden** FORMAS, FORTE, VR
- **Switzerland** SNSF
- **United Kingdom** AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC