

Promoting Integrity as an Integral Dimension
of Excellence in Research



Research integrity and the protection of privacy and personal data

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The policy recommendations for science policy makers and research managers



The aim of the policy brief is to give recommendations for policy makers, science policy advisers and research managers.

All recommendations are based on the findings of the PRINTEGER project, including the inventory of key documents, conceptual analysis, legal analysis, ethical and legal clarification of integrity and misconduct, survey, focus groups, case studies.

The focus of the policy brief



- ❖ Addressing the harmonization potential
How to achieve conceptual clarity?
- ❖ How to promote research integrity
- ❖ Ethical and legal framework of research integrity and misconduct

How to achieve conceptual clarity

How to achieve conceptual clarity?



1. To consistently and clearly use research misconduct and research integrity as separate, independent concepts and not as opposites or 'two sides of the same coin'.

Research integrity is a much broader concept than *misconduct*.

The concept of **research integrity** contains two levels: holding a coherent set of values and living up to these values, while research **misconduct** focuses only on actions.

**How to promote
research integrity?**

Promoting individual researchers' integrity

- ❖ On the individual level policies should first of all be advisory and aspirational, not sanctioning.
- ❖ Training should be well thought-through, balance principle and virtue based approaches and use methods suitable for developing moral reasoning and character.
- Leadership matters!

Promoting institutional integrity?

- ❖ Organisations should be encouraged to foster **research integrity culture**. Promoting research integrity strives toward a culture of responsibility, a culture of honesty, open discussions and trust.
- ❖ To promote research integrity, organisations should implement **wise incentive management** and quality assurance procedures.
- ❖ There should be systematic focus on researchers' well-being within research organisation.

**Ethical and legal
framework of
research integrity
and misconduct**

Ethical and legal framework of research integrity and misconduct



Policy should propose a clear, specific and supportive framework for handling misconduct.

- The main focus of an ethical framework should be to support and offer advice to researchers, not to punish and sanction.
- Organisations should be encouraged to publish and share handled misconduct cases, annual reports, opinions or conclusions of investigative authorities to be used as an informative and educational material in research community.

Ethical and legal framework of research integrity and misconduct

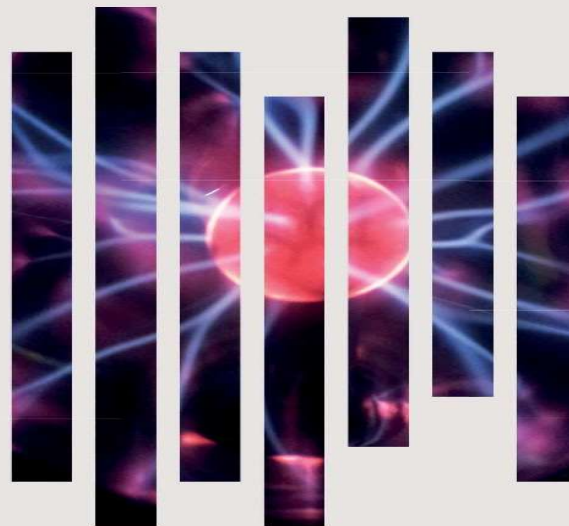


Clarify applicable data protection standards and their relation to research integrity.

- Cooperation between academic institutions and data protection authorities would be instrumental to help throwing light on – and refining – the necessary data protection requirements.
- Research integrity normative frameworks should make clear whether failure to **respect data protection requirements** shall be regarded as scientific misconduct, and, if so, when.

ESTONIAN CODE OF CONDUCT FOR RESEARCH INTEGRITY

2017



The Estonian Code of Conduct for Research Integrity

- The Estonian Code of Conduct for Research Integrity was signed in November 2017 by 21 research institutions, Estonian Ministry of Education and Research and the Estonian Research Council at the European Commission and Estonian Bioethics Council organized NEC meeting in Tallinn.
- The document was meant to complement the Code of Ethics of Estonian Scientists adopted in 2002.

Estonian Code of Conduct for Research Integrity

- ... was created as a framework document applying to the whole of Estonian research.
- All institutions are invited to develop their own policies and procedures for promoting research integrity within each institution, and how to deal with cases of misconduct.
- Two levels: individual and institutional responsibilities.

Most discussed points

- Authorship (who is the author and what is the co-authors responsibility)
- Benefit-sharing (what is the responsibility of the researcher towards the community?)
- Informed consent (exceptions in SSH)
- **Data collection, and processing (re-use of data, sharing of the data)**

2.2 What are the principles of analysis of research data? *Estonian Code of Conduct for Research Integrity*

- 2.2.5 In research, the researcher follows the principles and regulations of protection of personal data.
- 2.2.6 The researcher **ensures as broad access to data as possible**, considering the substantiated limitations of access to the data resulting **from the need to protect personal data**, promises given to the subjects and the interests of research.
- 2.2.7 The researcher, in cooperation with the research institution, stores research data as long as possible; when setting the storage time, s/he considers the value of data for research, the conventions of one's research area, the physical and technological facilities of the research institution and agreements with subjects or holders of data. **The researcher stores personalized data as long as necessary and as briefly as possible.**
- 2.2.8 When storing and using data, the researcher ensures their integrity and safety, and if necessary, ensures the safe and proper destruction of data.



Thank you!

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