



Research integrity and ethics experiences

Presentation by Natalie Evans

World Conference on Research Integrity, Hong Kong June 2-5

**the
embassy
of good
science**

Stakeholder consultation

Objectives

- **Explore stakeholders' experiences and perspectives regarding research integrity and ethics**
- **Explore additional categories of information that may need to be collected**
- **Provide guidance to data collectors and the website developer**



Consultation approach

Oct 2017

Consultation phases

March 2018

Focus groups – Croatia, Spain, The Netherlands

Round 1

Focus Participants' perspectives and experiences
Approach Broad exploration of experiences
Expected outcome Understanding of participants' experience explicit and implicit rules informing RE+RI practices

Round 2

Focus Fit of identified needs and discussion of platform
Approach Presentation and discussion of the platform
Expected outcome Understanding of participants' informational needs and platform preferences

Round 3

Focus Similarities and differences between countries
Approach Presentation and discussion of findings from the three countries
Outcome Understanding of diversity and how to reflect it on the platform

Online community discussion

Focus - Global experiences and preferences for the platform
Approach - Moderated online community discussion
Outcome - Understanding of global diversity and how to reflect it on the platform

Location	R.1		R.2		R.3	
	n	%	n	%	n	%
Netherlands	15	37.5	13	34.2	8	36.4
Amsterdam	8	20.0	8	21.1	–	–
Maastricht	7	17.5	5	13.2	–	–
Spain	10	25.0	12	31.6	8	36.4
Madrid	6	15.0	6	15.8	–	–
Barcelona	4	10	6	15.8	–	–
Croatia	15	37.5	13	34.2	6	27.3
Zagreb	8	20.0	6	15.8	–	–
Split	7	17.5	7	18.4	–	–
Total in round	40		38		22	
New to round	40	–	16	42.1	3	13.6

Face-to-face consultation (n=59)

Role		R.1 n (%)	R.2 n (%)	R.3 n (%)
Researchers		25 (62.5)	26 (68.4)	18 (81.8)
RE or RI Committee Members		15 (37.5)	9 (23.7)	6 (27.3)
Policy makers		7 (17.5)	5 (13.2)	2 (9.1)
Managers		10 (25.0)	8 (21.1)	3 (13.6)
Editors		5 (12.5)	2 (5.3)	1 (4.5)
Funders		3 (7.5)	4 (10.5)	1 (4.5)
Other*		1 (2.5)	1 (2.6)	2 (9.1)

Face-to-face consultation – stakeholder groups (n=59)

Analysis

Thematic approach

- **Deductive and inductive approach**
- **Line-by-line coding of transcripts**
- **New codes informing the focus group topic guide for subsequent discussions**
- **Codes were organized into themes and sub themes**



Cross-cutting themes

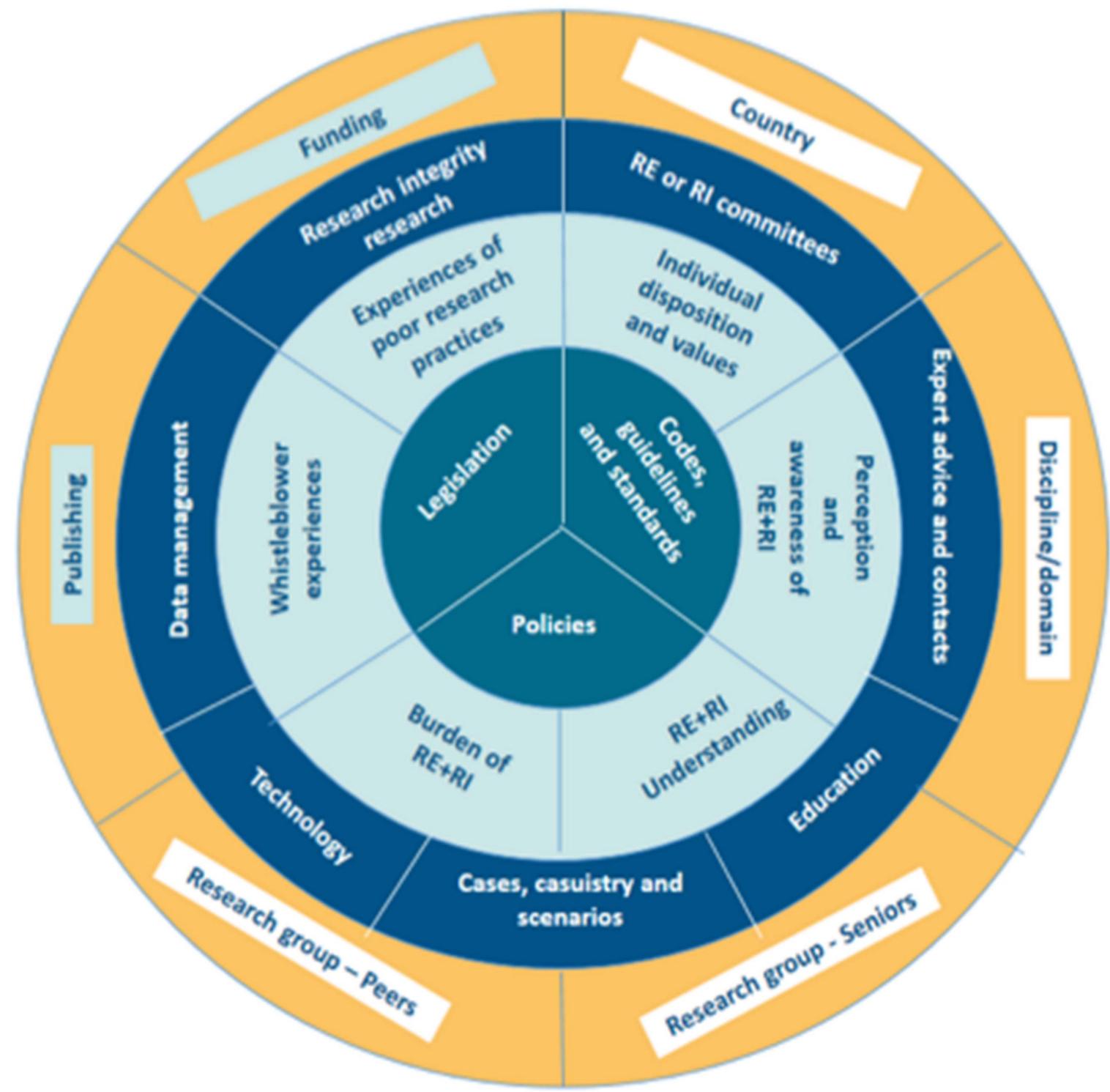
Laws, policies, and guidance

Individual dispositions, values, perceptions, and experiences

Support

Context

Funding and publishing



Five cross-cutting themes

Laws, policies, and guidance

- All countries subject to EU regulations and have national research integrity and ethics laws, bodies, and codes
 - *NL code of conduct frequently discussed by a diversity of stakeholders,*
 - *HR code referred to as being adequately formulated but inadequately adhered to*

Because you know, we have a code of conduct which was established in 2006, basically... so in Croatia it isn't a problem to have everything set up on the place, it's a problem with how this is working in reality. So that is the problem. When you have corruption, when you have politics which is going inside research integrity, inside the science system, and know that this is a problem in Croatia.

Participant 34, Researcher and RE or RI Committee Member, Croatia – face-to-face focus group

- *ES code not mentioned by any stakeholder.*

Laws, policies, and guidance

- Institutional codes and policies develop from external normative developments and internal challenges
- Commitment and action required to translate high level documents into practice

You need the directors of the centres, or the manager or whatever, to actually be interested in this and say and I'm going to, every year when I do the annual talk to my whole centre, I'm going to touch on the issue of research integrity, and gender, just to show that it is important.

Participant 18, Research Manager, Spain

So there is, when there is no relationship between words and deeds, like you say action plans and everything, this is even worse than having nothing because you can show the people were doing wrong things, you can show 'look, we have very nice documents'.

Participant 28, Researcher and RE or RI Committee Member, Croatia

Context

- Dutch participants often referred to the ‘big cases’, particularly Diederik Stapel, and their immediate influence on institutional research integrity efforts.
- Croatian participants discussed challenges in adhering to laws and guidelines, due to conflicts of interest and political pressure, in the context of Croatia’s recent history of socialism and conflict.

[A]nd then before the war we were – like the whole Eastern Europe I believe, not just Croatia – we were under socialism and there were other rules of morality, let's say, or of ethics, whatever, which were also correlated to the political system of that time. So that's always correlated, also in our time, but at the time it was at a higher level, let's say.

Participant 34, Researcher and RE or RI Committee Member, Croatia – face-to-face focus group

Support

- Research integrity and ethics committee function influenced by members' disciplines, expertise and, sometimes, conflicts of interest
- In the Netherlands, alternative support structures are developing for disciplines which do not legally require research ethics approval.

So, what we're now doing with the informatics, we call it, so the computer science ethical research board is more of a bottom-up approach. So, we really try to be a lightweight thing close to people that need us, instead of an over-arching institutional... because we have, I thought we have so little support

Participant 13, Researcher and RE or RI Committee Member, the Netherlands - face-to-face focus group

Individual dispositions, perceptions, and experiences

- Perception of research integrity and ethics as a burden hinders real engagement

[i]f we're talking about ethics, I mean, in the last few years I've seen the ethics field explode with ethics issues that you as a researcher, you have to encounter in doing research, you have to think about dual-use, you have to think about Nagoya, oh, if you're thinking about getting material abroad you need export, import. You have to have the ethical clearance, you have to have GDPR, research data management. Seriously, these people are going nuts with all ...

Participant 10, RE or RI Committee Member and Policy Maker, Belgium – face-to-face focus group



Conclusions

Conclusion

Stakeholder consultation

- **Differences across the three countries in terms of awareness, influence and translation into practice of codes and guidance:**
 - **Social and political influences hindering adherence to national laws and codes in Croatia**
 - **The lack of awareness of the national code of conduct in Spain**
 - **The development of alternative support structures for RE+RI that are not adequately covered by current legislation in the Netherlands.**



Thank you



UiO • Universitetet i Oslo

**the
embassy
of good
science**



The EnTIRE project has received funding from the European Union's Horizon 2020 research programme under grant agreement N 741782.