



# H2020 Policy Support Facility

## Mutual Learning Exercise (MLE) on "Research Integrity"

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'Reforms and economic impact – country intelligence'

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Hong Kong, 3 June 2019

# What is the H2020 Policy Support Facility about ?

Help MS "improve the design, implementation and evaluation of R&I policies" by:



Supporting evidence-based R&I policies



Drawing on the combination of the high potential of learning between peers (*i.e.* policy-makers) and high-level experts advice and assistance



European  
Commission

# PSF Services



**9 Peer Reviews of National R&I Systems**

BG, MD, HU, UA, PL, MT, LT  
DK, EE

**12 Specific Support to Countries**

MT, SK, RO, SI, BU, LT, LV, GE,  
TN, MN, CY, AM

**Mutual Learning Exercises**

11



Research and  
Innovation

# MLEs': Main features

## 1. Address a specific and common R&I challenge

- Focus on policy challenge that is of interest to several volunteering countries

## 2. Identify good practices, lessons learned and success factors

- Using robust evidence about impacts of the measures and the contextual factors

## 3. Promote Policy learning

- MS learn from each other exploring specific questions and from experiences in other countries

## 4. Provide High level advice and assistance from external experts

- Policy options and tools for fine-tuning or implementing change in the design of the current policy system

## 5. Follow a Modular approach

- Workshops, Country visits, etc

## Context of the MLE RI:

- In December 2015 the Council of the European Union put research integrity for the first time on its agenda and adopted Conclusions recognising “research integrity as the **foundation of high quality research** and as a **prerequisite for achieving excellence** in research and innovation in Europe and beyond”
- The Council of the EU has invited all actors involved “to **define and implement policies to promote research integrity** and to **prevent and address research misconduct**, including questionable research practices.”
- Research integrity is a top priority for the EU's research policy:
  - The Commission fostered the **revision** of the “**European Code of Conduct for Research Integrity**” developed by the European Science Foundation (ESF) and All European Academies (ALLEA)
  - The Commission **funds research projects** aiming to explore the different dimensions of research integrity and **promotes cooperation** and exchange of practices
  - Many **European countries have adopted laws, codes or guidelines**, aiming to promote research integrity and prevent research misconduct

## Scope of the MLE RI (I):

- However the policies, **structures are quite varied** among European Countries
- France made a request for an MLE
- Focus on the **exchange of practices on how to best design and implement national strategies for promoting research integrity**, procedures to tackle cases of research misconduct and positive incentives for the upgrade of the quality of research
- Participants from 14 countries (France, Denmark, Finland, Sweden, Spain, Bulgaria, Ireland, Luxembourg, Estonia, Lithuania, Austria, Greece, Norway and Moldova)

## Scope of the MLE RI (II):

4 topics were selected by participant countries:

- **Processes and structures** put in place at national level for the governance of research integrity
- **Positive incentives** for institutions and researchers to create a widespread culture of research integrity
- Promotion of **dialogue** within and among relevant institutions and the **communication** with the public
- **Training** on research integrity, including types of training, tools and target groups



# DREAM

## TEAM

**Horizon 2020 PSF**  
**MLE on**  
**Research Integrity**  
*2018-2019*

**Independent experts**  
**Göran Hermerén** (Chair)  
**Hub Zwart** (Rapporteur)  
**Ana Marusic and Daniele**  
**Fanelli** (Experts)

**Participants**  
**14 countries**  
(12 Member States and 2  
Associated Countries)

**EU Commission – RTD**  
Ignacio Baleztena, Louiza  
Kalokairinou and Dorian Karatzas  
**Project Management**  
Viola Peter (Technopolis)



European  
Commission

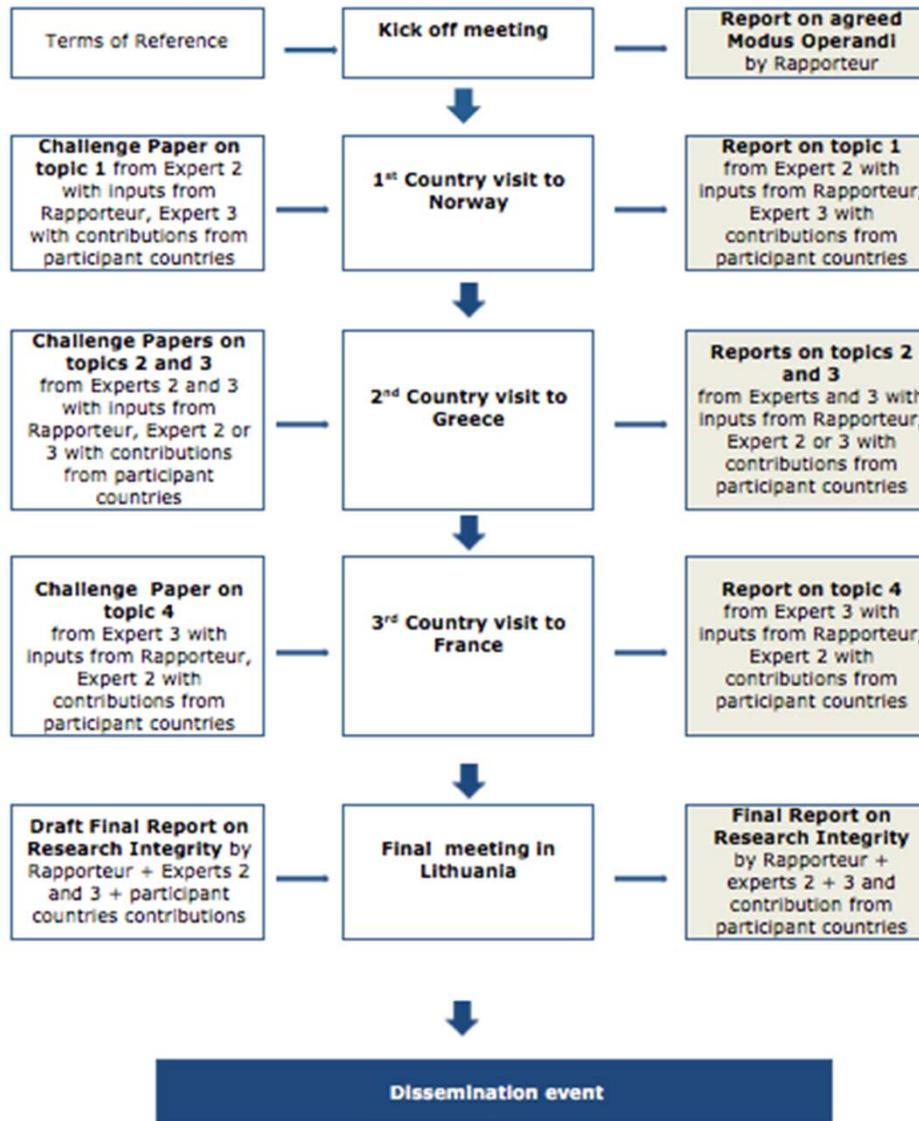
## Calendar and country visits





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# Flow of Meetings and Reports



# Topic 1: Processes and structures

## Challenges addressed:

- Implementation of principles and requirements in practice and transparency of the process
- Mobility of researchers and collaboration of institutions/structures on research misconduct investigation
- Whistle-blowers
- Sanctions and appeals

# Topic 1: Processes and structures

## General Recommendations:

1. The definition of research integrity should be agreed at the national level in order to harmonize the processes at all levels in a country's RI system and increase the security and trust of researchers and other stakeholders
2. The professional standards for RI and research ethics (RE) experts should be harmonized across Europe
3. While there is no "right" RI structure that would fit all historical, legal, cultural and socio-economic differences between countries, it would be advisable to create a national RI body that could help coordinate, monitor, educate, communicate and promote research integrity in a country
4. It would be beneficial for RI in the European context that countries join the European Network of Research Integrity Offices (ENRIO)

# Topic 1: Processes and structures

## Recommendations:

1. Overlap of different ethics committees and issues of cooperation
  - Cooperation is necessary, but independency too
2. Appeals to the results of RI investigations
  - Appeals should be possible
3. Conflict of interest
  - RI committee members should be carefully selected. Also international members

# Topic 1: Processes and structures

## Recommendations:

### 4. RI investigations and mobility

- RI portfolio, similar to teaching portfolio
- References to codes and responsibilities should be included into employment contracts
- Mobility across sectors: More open dialogue between the sectors on RI and mobility

### 5. Whistle-blowers

- Policies and procedures for RI investigations should address the important distinction between confidentiality and anonymity

## Topic 2: Incentives

### Challenges addressed:

- Activities related to research integrity that can be incentivized
- Types of incentives to be implemented. Ex: symbolic awards, credit system and “integrity portfolio”, RI oath, public rankings, etc.
- Unintended consequences of a given activity-incentive. And, advantages and disadvantages of such incentives compared to compulsory regulations

## Topic 2: Incentives

### Recommendations:

1. Compulsory regulations and “softer” policy requirements should be complemented with positive incentives
2. The effects of any incentive or regulation should be closely monitored, to ensure the achievement of desired effects and detect the possible occurrence of unintended consequences
3. RI systems should be able to respond to the emergence of unintended consequences and revise or adapt policies accordingly
4. Research on the impact of RI incentives and policies should be fostered and sustained

## Topic 3: Dialogue and Communication

### Challenges addressed:

- Dialogue with different stakeholders in RI
- Communication of RI investigation

### General Recommendations:

1. Establishing productive dialogue among all stakeholders in RI
2. Ensuring transparency and confidentiality of communication during RI investigations

## Topic 3: Dialogue and Communication

### Recommendations for specific stakeholders :

#### 1. Academies and ALLEA

- Platform for dialogue about RI between different stakeholders
- Promote formal endorsement of European Code of Conduct (ECoC) for Research Integrity
- Dialogue bridge between the policy-makers and managers at research performing or funding organizations and individual researchers or research communities

#### 2. Policy makers

- Provide clear legal and regulatory frameworks for responsible conduct of research
- Closely follow the impact of new policies on research integrity
- Promote communication and public engagement in assessing the existing policies

## Topic 3: Dialogue and Communication

### Recommendations for specific stakeholders :

#### 3. Research funding organizations

- Get involved in RI dialogue and communication with other stakeholders in responsible conduct of research
- Encourage research performing institutions, professional organizations, and other stakeholders to subscribe to RI standards
- Take active steps in communicating their procedures and structures in place for dealing with irresponsible research and research misconduct

#### • 4. Research performing organizations

- Collaboration with other stakeholders at different levels in an open and transparent way to ensure responsible research
- Share experiences and learn from each other at a national and international level
- Communicate their adherence to research integrity by officially adopting international standards, and having clear, publicly available policies about and structure for promoting RI and implementing RI investigations

## Topic 3: Dialogue and Communication

### Recommendations for specific stakeholders :

- 5. Research integrity bodies
  - Be ambassadors of responsible conduct of research
  - Have clear and publicly available procedures for dealing with RI allegations and for conducting RI investigations
  - Clearly communicate the results of RI investigations while respecting legal requirements
  
- 6. Industry sector
  - Engage in the dialogue about RI with other stakeholders, particularly about creating and harmonizing RI principles
  - Present their structures, policies and procedures to ensure responsible conduct of research

## Topic 3: Dialogue and Communication

### Recommendations for specific stakeholders :

- 7. Scientific journals
  - Continue the collaboration with other stakeholders, particularly research institutions in ensuring the communication of the results of RI investigations
  - Implement and promote guidelines on collaboration between research organizations and journals
  - Continue to provide the forum for the dialogue on responsible research integrity by all involved stakeholders
- 8. Media
  - Ensure the transparency of responsible conduct of research and, at the same time, and respect for individual researchers involved in RI investigations
  - Ensuring the dialogue between the public and other stakeholders in RI

## Topic 4: Training

### Challenges addressed:

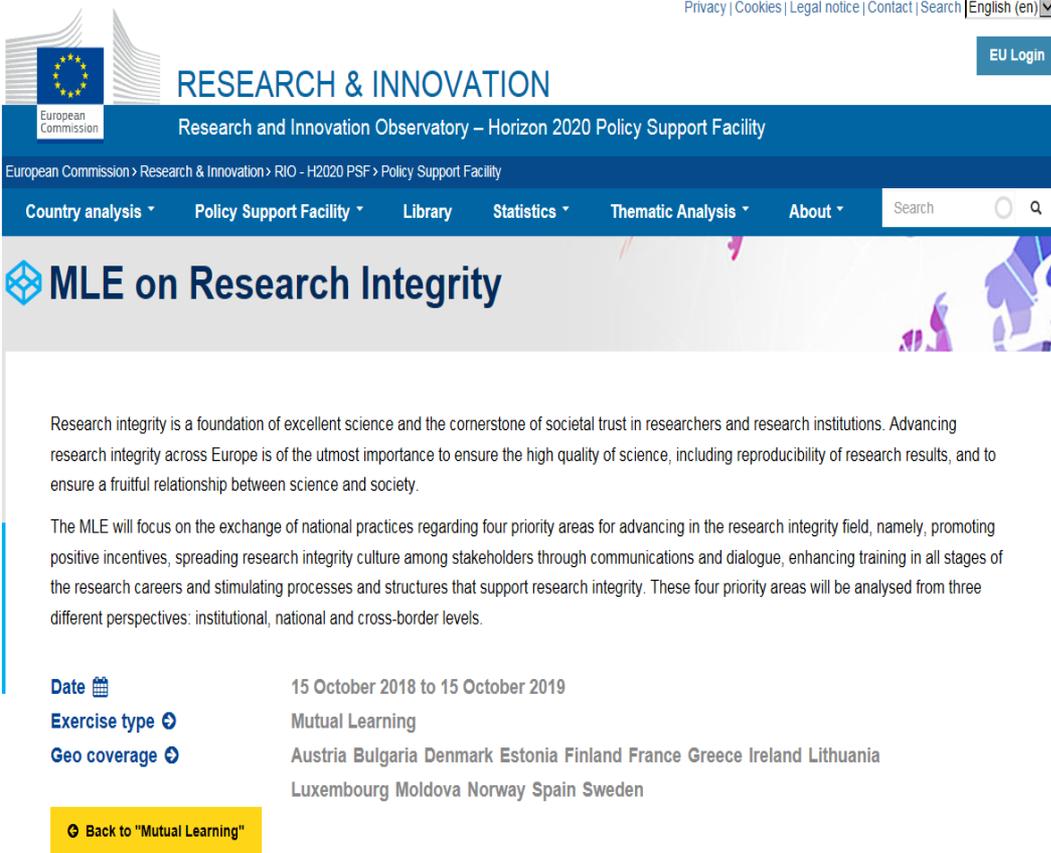
- Course objectives to be prioritized in a given country/institution/target audience: knowledge, skills and awareness raising
- Materials and incentives implemented to pursue such objectives
- Assessment of the courses
- RI training coordination across the EU but tailored to the diversity of national and institutional cultures and priorities
- Sharing information and data about RI training across Europe

## Topic 4: Training

### Recommendations:

1. Balance needs to be struck between coordination and diversity of RI training programs
2. National-level RI Officers or other equivalent figures play a key role as mediators to:
  - Ensure the collection and sharing of material and information on RI training in their country
  - Indicate the overall objectives and themes of RI training within the country
  - Facilitate dialogue and communication among stakeholders within the country, to ensure some level of coordination
3. Research on RI training should be incentivized (i.e. Funded), so that qualitative and quantitative data on RI training could be shared or published
4. Participant countries agreed to share information on RI training activities (make steps forward identifying a platform where materials, information and data on RI training could be shared across)

# Check the RIO-PSF knowledge center



The screenshot shows the top navigation bar of the RIO-PSF knowledge center. It includes the European Commission logo, the text "RESEARCH & INNOVATION", and "Research and Innovation Observatory – Horizon 2020 Policy Support Facility". Below this is a breadcrumb trail: "European Commission > Research & Innovation > RIO - H2020 PSF > Policy Support Facility". A menu bar contains "Country analysis", "Policy Support Facility", "Library", "Statistics", "Thematic Analysis", and "About", along with a search box. The main content area features a banner for "MLE on Research Integrity" with a brief description of research integrity and the Mutual Learning Exercise (MLE) focus. Below the banner, there are filters for "Date" (15 October 2018 to 15 October 2019), "Exercise type" (Mutual Learning), and "Geo coverage" (Austria, Bulgaria, Denmark, Estonia, Finland, France, Greece, Ireland, Lithuania, Luxembourg, Moldova, Norway, Spain, Sweden). A yellow button at the bottom left says "Back to 'Mutual Learning'".

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## MLE on Research Integrity

Research integrity is a foundation of excellent science and the cornerstone of societal trust in researchers and research institutions. Advancing research integrity across Europe is of the utmost importance to ensure the high quality of science, including reproducibility of research results, and to ensure a fruitful relationship between science and society.

The MLE will focus on the exchange of national practices regarding four priority areas for advancing in the research integrity field, namely, promoting positive incentives, spreading research integrity culture among stakeholders through communications and dialogue, enhancing training in all stages of the research careers and stimulating processes and structures that support research integrity. These four priority areas will be analysed from three different perspectives: institutional, national and cross-border levels.

**Date** 📅 15 October 2018 to 15 October 2019

**Exercise type** ↻ Mutual Learning

**Geo coverage** ↻ Austria Bulgaria Denmark Estonia Finland France Greece Ireland Lithuania Luxembourg Moldova Norway Spain Sweden

↻ Back to "Mutual Learning"

- **General RIO-PSF Webpage for all PSF activities:**  
<https://rio.jrc.ec.europa.eu/en/policy-support-facility>
- **Direct link to the Webpage for the MLE Research Integrity:**  
<https://rio.jrc.ec.europa.eu/en/policy-support-facility/mle-research-integrity>

# Thank you!

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