Horizon 2020 Policy Support Facility

POLICY RECOMMENDATIONS

EXCHANGE OF PRACTICE

ON-DEMAND SUPPORT

PEER LEARNING

Final Report:
Research Integrity Mutual Learning Exercise
Prof. Dr. Hub Zwart – Erasmus University Rotterdam

26 June 2019 –

Vilnius – Research
Council of Lithuania

ERASMUS UNIVERSITEIT ROTTERDAM

Mutual Learning Exercise (MLE) on Research Integrity

Final report

Horizon 2020 Policy Support Facility

Research and Innovation

Mutual Learning Exercise

on Research Integrity

Final Report

Prepared by the independent experts:

Independent experts

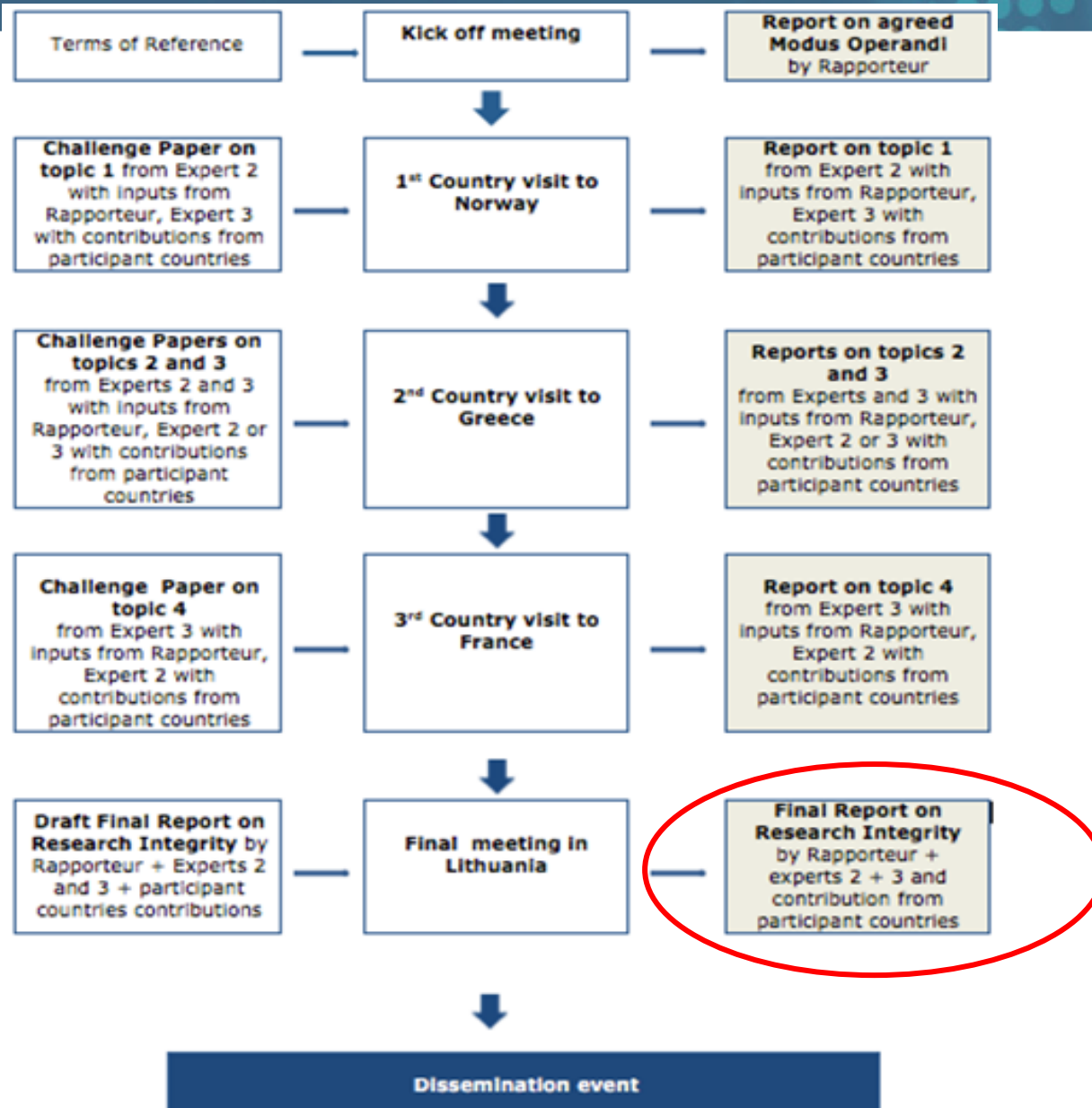Hub Zwart (Rapporteur)

Ana Marušić

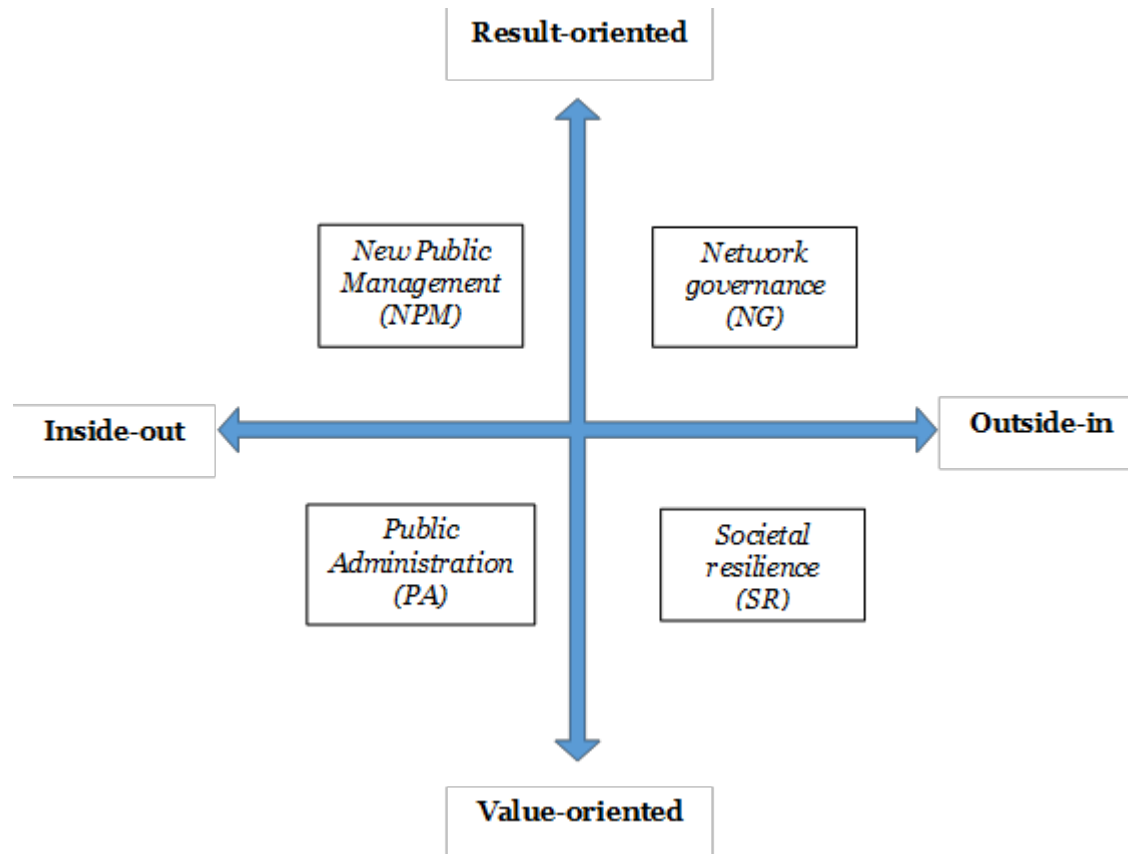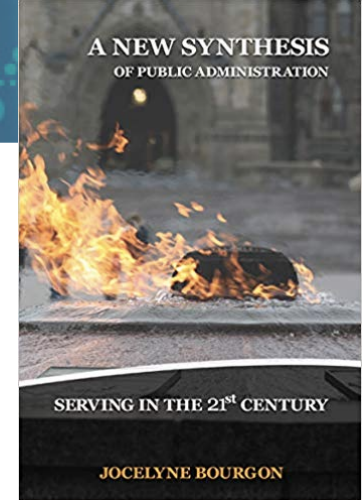Daniele Fanelli

Goran Hermeren (Chair)

Directorate-General for Research and Innovation

2019

EN

Result-oriented

New Public Management (NPM)

Network governance (NG)

Inside-out — Outside-in

Public Administration (PA)
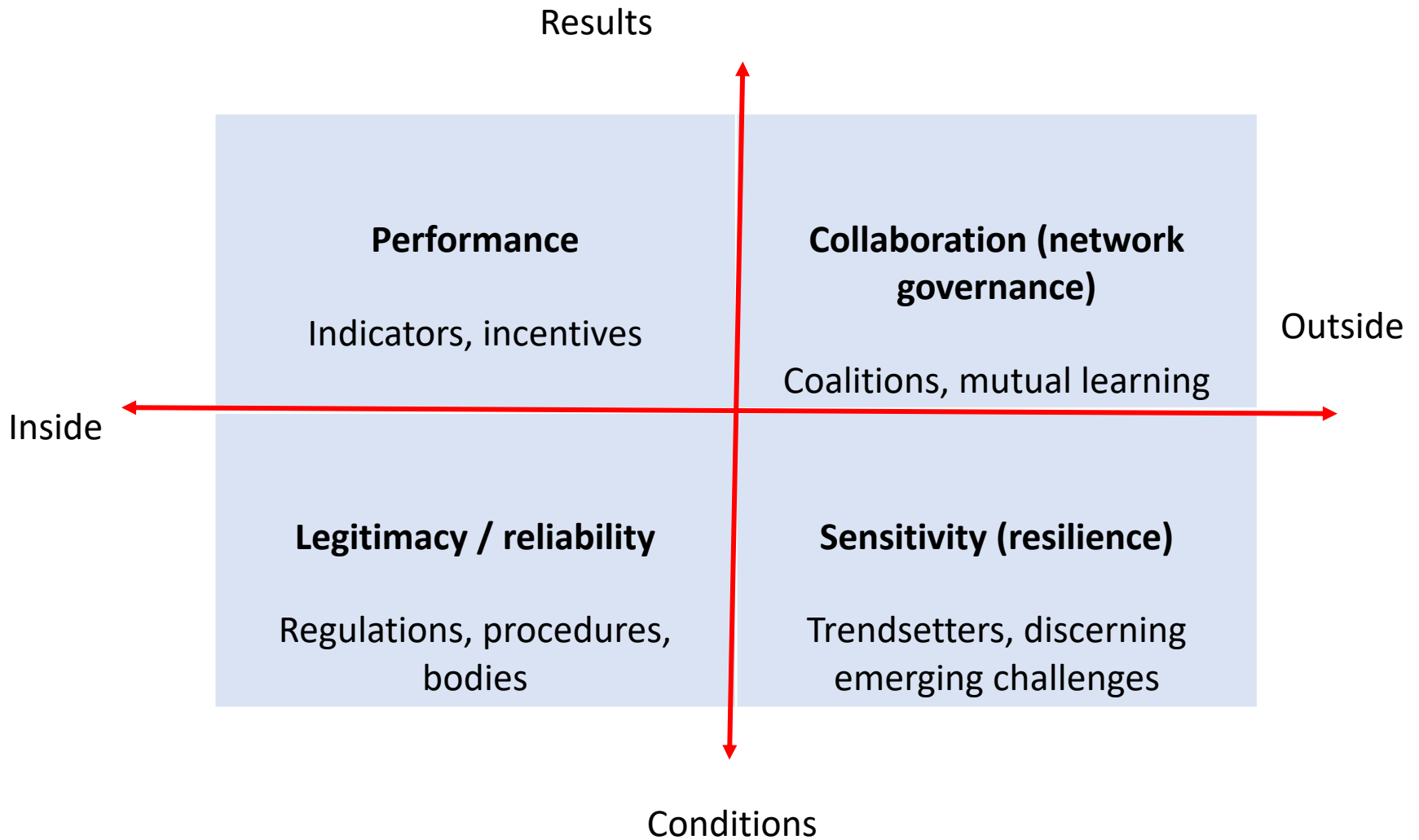
Societal resilience (SR)

Value-oriented

Source: Van der Steen et al. (2014), "A multi-level strategy as the key to success; an evaluation of the Interdepartmental Programme BioBased Economy", www.nsob.nl/publicatie/a-multi-level-strategy-as-the-key-to-succes/; Adapted from Bourgon (2009), "New directions in public administration: Serving beyond the predictable, Public Policy and Administration, Vol. 24, pp.309-330 and Bourgon (2011), *A Synthesis of Public Administration: Serving in the 21st Century,* Queen's Policy Studies, www.jstor.org/stable/j.ctt7zp3k.

Results

Performance

Indicators, incentives

Collaboration (network governance)

Coalitions, mutual learning

Outside

Inside

Legitimacy / reliability

Regulations, procedures, bodies

Sensitivity (resilience)

Trendsetters, discerning emerging challenges

Conditions

Performance	**Collaboration**
Performance indicators: training: attendance, number of participants in courses, evaluations	Transparency about integrity cases
	Establish constructive dialogues among stakeholders
Symbolic awards for recognition of RI activities	Use / create platforms for dialogue
Credits systems	Interaction between journals and publishers
Public RI rankings (universities)	Sharing materials and training methods
Authorised structures	**Sensitivity**
Definition	Testbed for emerging best practices
Harmonise professional standards	Promote coaching
Create national RI bodies	Promote public engagement
ENRIO ALLEA	Develop / evaluate new options for policy
Systems of appeal	Take active steps in education, communication and research
Qualified membership	
Integrity portfolio	Ambassadors for research integrity
RI in contracts	Contribute to media debate on RI
Fair procedures, confidentiality etc.	Sensitivity to context

Overarching recommendations

- Research culture
- Integrity acknowledgments (institutions)
- Integrity rewards (individuals)

- RI portfolio
- RI coaching
- RI teaching platform repository

Concrete examples from participating countries

Performance Norway: moving towards punishing institutions Lithuania: awards for integrity initiatives	**Collaboration** ENRIO Platforms (ENTIRE Wiki)
Authorised structures Luxembourg / Lithuania: ban from funding Luxembourg: RI in contract	**Sensitivity** Norway: holistic attitude to RI (research should be beneficial to society) Norway: RI gatherings

RI Portfolio

- "consider the introduction of an RI certificate or RI portfolio (comparable to similar practices in academic teaching)"

- "individuals and institutions could be encouraged to build their "integrity portfolio", which includes integrity activities and performances such as training received, teaching activities, coaching, deliberation, active participation in events and initiatives and experience in managing cases and initiatives;

- Incentives: certificates (RI portfolio).

- Academics should be encouraged (incentivised) to develop an RI portfolio consisting of components such as conducting and participating in RI training as well as participating in RI deliberation on the institutional level or in academic and public debate; but also experience as research manager and supervisor in addressing integrity challenge and RI training of students and early stage researchers; integrity coaching and advice. In this manner, academics develop an integrity record indicating their status and experience as qualified researchers, comparable to teaching portfolios. This would be especially meaningful in the context of international collaboration and mobility, to ensure that all universities and academics involved have a solid training in addressing integrity issues.

Proposal for today

- **11:00-12:30   Presentation of the Final Report**
- First round of comments:
- (a) What could be emphasised more?
- (b) What is missing? / deficiencies

- **12:30-13:15   Lunch**

- **13:15-15:00   Discussion on the Final Report**
- (c) Collecting concrete examples from participating countries
- (d) Key recommendations: RI portfolio, coaching, etc.
- (e) Participants: boxes?

- **15:00-15:30   Conclusions and next steps**

Format

- Inspirational practice / example
- Why ?
- How does it work
- Challenges risks
- Visual
- Reference (www)
- 200 words