Promoting Integrity as an Integral Dimension of Excellence in Research

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Research Protocol: The extent and incidence of misconduct

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1. Summary

This work package gathers indicators of the extent of misconduct and analyses how institutions respond to misconduct or deviance in science. It is located in the empirical phase of the PRINTEGER project and contributes to our analysis of what policies and organizational responses are most likely to engender a culture of integrity in research organizations, in which integrity is an integral part of research. The exploration of the incidence of misconduct is combined with the institutional response, since it is partly through this institutional response that misconduct is made explicit, or even defined.

1.1 Aim

Concerning the extent of misconduct

Initially, this research protocol attempts to document the number of misconduct cases visible through administrative procedures, hereby including the cases that were declared unfounded or admissible by a *body for investigating cases of misconduct*. Ultimately, the aim is to make visible the procedural chain that is followed in cases of misconduct and how the 'number' of cases narrows down in the selection process from '*alerts and notifications of misconduct*' to actual '*sanctioning measures*'.

An analysis of the responses to misconduct and concerns over integrity will clarify empirical occurrence, the nature and forms of misconduct and will ultimately result in an overview of the "institutional reaction".

With regard to this, three sources of data are relevant: **(1) administrative procedures**, **(2) misconduct cases that lead to media attention**, and **(3) misconduct that leads to withdrawals or retractions of journal publications**. In this research protocol we will structure the script for data-gathering according to the administrative procedures to deal with allegations of misconduct.

Concerning the registering practices

Besides gathering information on the extent of misconduct, we also aim at mapping "the procedures to deal with misconduct cases". The goal is to not just report on the actual procedures themselves, but also on the process of gathering this data. Methodological issues should be discussed. The obstacles faced in gathering data on administrative procedures should be extensively reported upon. Issues with transparency, gaining access or fragmentation of registration will be described in this deliverable. Accordingly, recommendations could be made regarding room for improvement on transparency and openness of registering practices.

1.2 Participating partners

Country	Institution
The Netherlands	RU
	LU
Belgium	VUB (task leaders)
Estonia	CEUT
Norway	HiOA
Great Britain	UNIV BRIS
Italy	UT

1.3 Timing

This draft of the research protocol (written by the leading partner VUB) is based on the expertise we have of our own national context. In this regard that we do need input of PRINTEGER partners to create generic similarities that transcend national and institutional bounds.

An initial draft was congregated at the General Assemblée in Oslo (25-26) after which the necessary adjustments were put in place for the finalized protocol (submission date of the protocol itself is in the 13th month - September 2016).

At the Oslo meeting, the experts gave the advice to task leader VUB to contact the chair of the Enrio network in order to get more insight and information in studies that had been previously conducted in Europe. From this meeting, and a thorough study of the reports and surveys (done by amongst other Science Europe), we could conclude that this data is not very representative and usable for Printeger. It was reported to us that there were some transparency issues when it comes to administrative procedures in the countries that were involved. Above that, we could conclude that not all the countries involved in our work package were members of the previously conducted research and that the data gathered does not give us the specific answers that Printeger is looking for. As a result, we believe we are still designated to WPIII.1 partners to gather information on registration practices and procedures in their country.

A report on the incidence of misconduct is due in month 16 (December).

The actual data gathering per partner will be done and communicated to partner VUB before the end of month 16 (December).

Timing	Date	Milestone	Info	Partner
Month 12	19/08/2016	Preliminary to the research protocol	Leading partner distributes a first document to the partners for feedback	RU, CEUT, HIOA, UNIV BRIS, UT and LU
Month 12	26/08/2016	General Assemble Oslo	Prototype will be discussed with all partners	All partners
Month 13	September	Submission Deliverable III.1	The leader of WP3 submit the protocol and it will make it available for the partners	VUB
Month 15	30/11/2016	Data on incidence Gathered	The partners will gather the data between September and November	VUB, RU, CEUT, HIOA, UNIV BRIS, UT and LU
Month 16	31/12/2016	Report on the incidence of misconduct to VUB		VUB, RU, CEUT, HIOA, UNIV BRIS, UT and LU

2. Introduction[1]

We can state that there is a clear and increasing attention for the phenomenon of misconduct in scientific practices today, coming from funding bodies, research institutions, the media, policy makers and the government as well as civil society. The increased attention has created the perception of a 'rise' of 'actual misconduct', yet the frequency of fraud or misconduct in science has been a controversy in the 'bad apple' vs 'iceberg' debate. We can argue that up until today we are dealing with a serious dark number when it comes to the prevalence of deviance in science. There are several reasons for this:

Firstly, we raise concerns with regard to the consensus model when it comes to conceptualizing integrity and on what should be considered scientific misconduct.

Secondly, the increased attention has resulted in the development of a much broader concept of scientific deviance, going far beyond Falsification, Fabrication and Plagiarism (FFP), causing scientific misconduct to operate as an umbrella concept. This has consequently caused confusion and animosity within the scientific community and within the institution in which scientific practices take place.

Thirdly, there is no clear-cut definition of misconduct in science. This definitional ambiguity needs to be taken into account when trying to grasp the extent of misconduct and analyze how institutions respond to misconduct in science.

Fourthly we would like to point out issues in registration, since misconduct is under-reported, either because it is undiscovered or the discoverers are afraid of the consequences of becoming whistle blowers.

Fifthly, there is the desire, both from institutions as from the complainant and the accused to keep the case under the radar. Many cases might thus be handled informally and under the table. An analysis of the incidence of misconduct has to take into account such biases (the issue of 'dark numbers' of unreported or hard to label misconduct).

This report identifies what data partners should collect and how to document sources, in a unified way. Yet, the specificity of institutional structure and organizational structure of dealing with research misconduct of each partner of WPIII.1 has to be taken into account in order to gather correct information on the extent and incidence of misconduct. Therefore we stress the

[1] This introduction is partially based on the description of the work package in the "proposal for coordination and support actions" of Printeger, and partially on the deliverable DII.5 – Deviance in science. A criminological analysis.

importance of the co-creation of this protocol, since we can only provide valid information with regard to our own national context.

Conceptual discussion

Despite multiple attempts at defining the norms of science (e.g. R.K. Merton, 1973), there remains no general agreement on the fundamental norms of science (Kalichman, Sweet, & Plemmons, 2014; Mcfarlane, Zhang, & Pun, 2014). The phenomenon of deviance or misconduct in science is complex and it encompasses a wide range of "improper" behaviors and activities, leading to different possible interpretations. Science, but also concepts such as fraud, misconduct and deviance must be understood in a way that goes beyond the assumption of consensus, taking into account the plurality that is inherently part of science.

This definitional ambiguity and the subsequent conceptual debates have an influence on how the investigating and registering bodies define scientific integrity and scientific misconduct.

Administrative procedures are being initiated after a formal complaint (e.g. whistleblower's complaint). Formal complaints however, derive in most instances from *clear* cases of Falsification, Fabrication or plagiarism. When it comes to the *grey area* of scientific misconduct, there is a tendency to settle the complaint in a rather informal way. Consequently, questionable research practices rarely result in administrative procedures, and remain uncounted in the official statistics. When possible we would like to include those grey areas as well. In this deliverable however, we gather information on the incidence of misconduct in science through the amount of *official registered cases.* Therefore it is the definition of several forms of misconduct used by the registering bodies that is worth exploring.

3. Research misconduct: administrative procedures in partner countries

3.1 Institutional structures in dealing with scientific misconduct

The investigation on allegations of research misconduct might be held at the level of the institution, region or country. In some countries there is an appeal to an external body in dealing with misconduct. Yet in other circumstances there is no formal appeal system at all.

With the European Code of Conduct we can observe that it is the 'employers' of researchers as "hosts of the research" have the primary duty of installing administrative procedures to deal with scientific misconduct in their research institutes.[2] Accordingly, we can state that all institutes that employ researchers *should* act accordingly to the European Code of Conduct and therefore have installed administrative procedures and registration of allegations of misconduct. "*Typically, the primary responsibility for promoting integrity and handling issues of research misconduct resides with the institution that hosted the research and/or is the employer of the researcher against whom an allegation of misconduct is made".*[3]

Responsibility for governance and the investigation of scientific integrity can, however, differ amongst the different national partners involved in this deliverable. Responsibility of dealing with misconduct can lie within the institution, with regional or national organizations, or through National Research Integrity Offices.[4] Investigation can happen at centralized bodies or can be decentralized and fragmented. In addition to institutions dealing with misconduct, some countries can have other bodies who can handle cases of misconduct. These could be national bodies, independent organizations and bodies of funding agencies. [5]

3.2 Levels of registration

Institutional (e.g. Commissions of Scientific Integrity)

In some countries such the responsibility for investigating and registering cases of scientific misconduct is placed at the relevant research institution (sometimes even by law, cf. Norway).

[2] ESF, & ALLEA. *The European Code of Conduct for Research Integrity* (2011).
[3] M. Hiney, *Research Integrity: What it means, Why it is Important and How we Might Protect it* (Science Europe, 2015), 17.
[4] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.
[5] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.

This might be particularly the case when there is no regulatory body in place to deal with integrity issues.[6]

Some national structures have established independent commissions at the level of the research institutions in order to deal with integrity issues in scientific practices. Committees/commissions as such are not part of an individual research institution and the roles they have range from an independent advisory role and decision making in cases of misconduct to carrying out supervision of institutional processes.[7] Additionally they can have a mandate to investigate the allegations of misconduct and formulate recommendations; they can propose procedural adjustments when this is found necessary[8], they can propose criterions on scientific integrity, draft regulations, etc.

National / Regional

"*Besides the procedures at the level of the institution, National Integrity Offices can provide consistent advice, support and guidelines across both the public and private research sectors*".[9] These offices or commissions thus provide the investigating institution with an independent advice, and do consequently play an important role when it comes to administrative procedures. This advice can be required prior to the final decision of the research instructions, or as a form of appeal to a decision made by the research institution or Commission of Scientific Integrity.

These bodies are not always qualified to investigate the allegation of misconduct, in some cases there competency is limited to providing an advice only.

3.3 What information on the incidence of misconduct do we want to collect?

The aim of this deliverable is to go beyond a reporting of the incidence of research misconduct visible in administrative procedures, but rather it seeks at grasping the procedural structure of the registering practice by the involved institute or organization. Therefore it is important to map out at which level registration is happening in the partner countries, and consequently to gain knowledge on which body for investigating cases of misconduct we need to direct the data-gathering.

[6] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.
[7] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.
[8] http://www.kuleuven.be/english/research/integrity/procedures/csi/index
[9] M. Hiney, *Research Integrity: What it means, Why it is Important and How we Might Protect it* (Science Europe, 2015), 20.

Figure 1 Who is responsible for handling cases of misconduct?

The central goal of this deliverable, is thus to find answers to the following questions:

- How many notifications of misconduct reach the registering bodies each year?
- How many of those cases make it into an official file?
- What has been the actual outcome of these cases?
    - Admissible
    - Non admissible
    - sanction
- And if possible: what are the basic characteristics of these cases?
    - Nature of the reported facts (FFP,QRP, Other, …)
    - Demographic characteristics of the *plaintiff* and the *accused*
        - Professional status
        - Discipline
        - gender

Once this information is gathered we will have an overview of the procedural steps in the registration of scientific misconduct in each partner country, consequently we will be able to grasp the selection process from notification to actual sanction. This will, eventually, give us relevant information about 'the tip of the iceberg'.

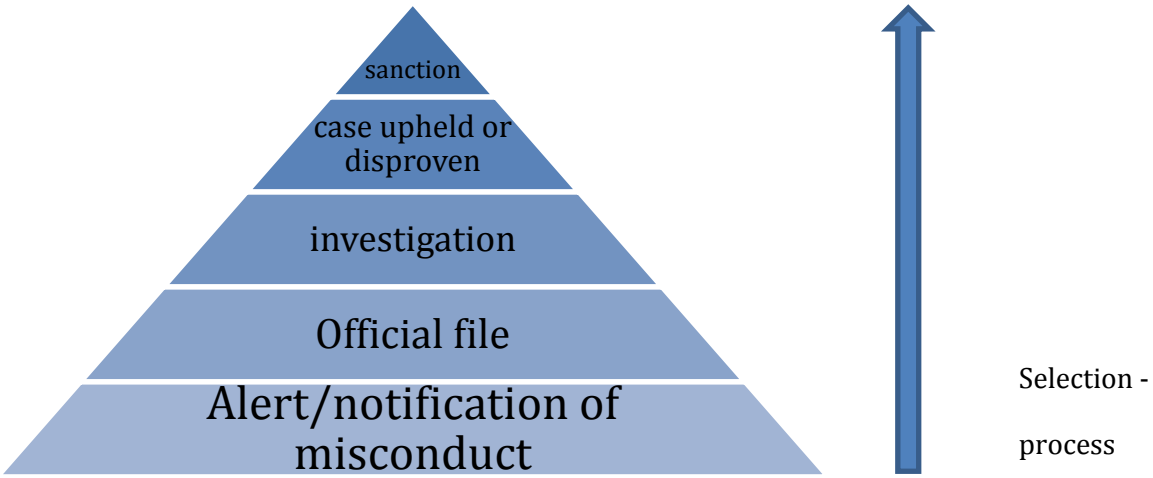

Figure 2Procedural chain

4. National systems for handling cases of misconduct

Oversight of procedures on dealing with cases of misconduct varies largely according to the national context. In most countries, responsibility in creating formal mechanisms lies with the research institutions within their role as "employers". This means that in some occasions our data gathering could happen at the institutional level, by asking research institutions or their committees or commissions for research integrity to provide us with the amount of cases (over the past 5 years), the characteristics and the procedural chain that has been followed (with as a tool for example the attached excel sheet).

In other occasions, however, countries have a central and official national body dealing with issues of research integrity. If these bodies register cases and thus have an active role within the procedural strain, this will be the level where data collection needs to happen.

Yet some other countries, unfortunately, do not have official registering bodies, and struggle with vague, unwieldly and fragmented registration. The level of transparency will consequently play a crucial factor in gathering data on the incidence and extent of scientific misconduct. In that case, we will be obliged to rely on the goodwill of deans or rectors of research institutes to provide us with the data they have.

In this next section we aim at sketching an overview of the national administrative procedures for handling misconduct cases and allegations of misconduct per national partner. We have used our own expertise when it comes to mapping out these systems in Belgium, but we would like to underscore the fact that this overview will inevitably contain some gaps when it comes to the other partnering countries in the deliverable. It is therefore that we rely heavily upon the input of

the partners for further completion or correction and feedback (by answering the questions addressed in section 5 for example).

a. Belgium

FWO	Research Foundation	Flemish
F.R.S FNRS	National fund for scientific research	French speaking community
VCWI	Flemish Commission for Research Integrity	Flemish
CWI's	CWI's installed at the Flemish Universities (register and record cases of misconduct)	Flemish
Unknown	Registration and recording of misconduct French speaking community is not centralized and formalized.	French speaking community

Complaints, questions and suspicions with regard to scientific integrity are directed at the Commission of Scientific Integrity of the institution in question. When a complaint is filed at a funding institution, such as for example the FWO (Fonds Wetenschappelijk Onderzoek), it is immediately redirected at the CSI of that particular research institution since they have a bilateral agreement in which the commission grants expertise. The CSI of the host institution will investigate the notice and if necessary a formal complaint will be made. After formalizing the complaint into a file, the CSI will investigate and eventually decide upon the admissibility of the complaint with or without a second advice of the VCWI (Flemish commission of scientific integrity).

In order to map out the incidence and extent of misconduct visible in administrative procedures in Belgium, it is thus most appropriate to collect data from the Commissions of Scientific Integrity installed at the research institutions. Taking into account data from for example the FWO or the VCWI would result in a double count. It is however interesting to know where the complaints come from (whistleblowers, funding institution) and if a second advice was necessary or not.

The 5 Flemish research institutions (universities) all have official CSI's:

- University of Antwerp UA: since 2010 (data available since 2012)
- Free University of Brussels VUB: since 2015
- Catholic University of Leuven KUL: since 2006
- University of Hasselt UH: not known
- University of Ghent UGENT: 2010 (revised in 2015) (data from 2011 onwards)

There are however, no official Commissions of Scientific Integrity installed in the French speaking community:

- Université Saint-Louis-Bruxelles
- Université Libre de Bruxelles
- Université Catholique de Louvain
- Académie universitaire Wallonie-Europe
- Université de Liège
- Académie universitaire 'Louvain'
- Université de Namur
- Académie universitaire Wallonie-Bruxelles
- Université de Mons

This will impede the procedure of data gathering within these institutes as it is not clear which people are aware of the amount of cases in that research institution.

The CSI's do not have collective statistics or a systematic system of data collection, but can, and are willing to collect all the files from the startup of the commissions until this date and provide us information on the content of the file (see excel sheet). Considering the fact that not all research institutes had a CSI since 2010, there will inevitably be gaps in the collection of data on the extent of misconduct in science in administrative procedures.

b. The Netherlands

LOWI	National Board for Research Integrity

"Research misconduct rules in the Netherlands are established in the context of a central body on research misconduct set up in cooperation between research institutions, institutional organizations and funding agencies".[10]

The initial responsibility for handling cases or research misconduct is placed at the research institutions. LOWI can give advisory opinions on the preliminary decisions of the research institutions, it is the research institutions that make the final decision.[11]

"In 2003, the National Board for Scientific Integrity (LOWI) was set up by KNAW, the Netherlands Organisation for Scientific Research (NOW) and the Association of Universities in the Netherlands (VSNU). It acts like a second instance appeal court and is called in if either the complainant or the

[10] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.
[11] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 10.

person accused of research misconduct is not satisfied with the way a specific case was dealt with. If the LOWI considers that the case was not handled properly, it will advise the university management to restart the process". [12]

LOWI knows what happens on the local level as they cooperate closely with the Ombudspersons located at the research institution.

c. Estonia

ETAG	Estonian Research Council

This is a research funding organization. The research council does not investigate cases. This organization is probably not aware of what is happening at the local level, they are currently focusing on promoting research integrity, more than the actual investigation or registration of cases.

d. Norway

ETIKKOM	The National Committees for Research Ethics

Norway has a system based on National Committees of Research Ethics[13] since the 1990s. Their overall responsibility is to advice on issues with research ethics. These committees, however, do not have a mandate to deal with specific allegations of research misconduct.[14] The primary responsibility for handling cases of research misconduct s places at the research institutions by law. They may seek advice or even refer the handling of a case to the national Commission for Investigating Research Misconduct. This specific commission has two functions: (1) investigating allegations of misconduct, (2) advisory role.[15]

The Commission does not impose sanctions. Sanctioning actions must be taken by the employer of the researcher in question.

[12] ESF, *Stewards of Integrity Institutional Approaches to Promote and Safeguard Good Research Practices in Europe*, (ESF: Survey Report, 2008), 29.
[13] Three ethics committees: The National Committee for Research Ethics in the Social Sciences and the Humanities (NESH), the National Committee for Research Ethics in Medicine (NEM) and the National Committee Research Ethics in Science and Technology (NENT).
[14] ESF, *Stewards of Integrity Institutional Approaches to Promote and Safeguard Good Research Practices in Europe*, (ESF: Survey Report, 2008), 31.
[15] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 12.

"In Norway the National Commission for the Investigation of Research Misconduct is not an appeal body for the decisions of the research institutions. The decisions of the national commission may be appealed to the Ministry of Education and Research."[16]

e. Great Britain

UKRIO	UK Research Integrity Office

Research institutions, private sector/commercial organizations, regulatory bodies such as the General Medical Council and the UK Research Integrity Office are involved in handling cases of misconduct in Great Britain.

The UK Research Integrity Office was established in 2006 and has always performed an advisory function. The office does not investigate cases itself.[17]

There is a new document that states that research institutions and universities should report the cases they deal with in an annual review. There is an article, however in which Liz Wager states that there are universities that do not report on their cases because of fear of reputation damage.[18]

f. Italy

CNR	Consiglio Nazionale delle Ricerche

Similar situation to Estonia. There is no national research integrity office registering cases for now. The national funding agency, CNR, feels responsible about this issue and they have installed a local committee which, after time, should become a committee on the national level.

[16] The Danish Agency for Science, Technology and Innovation, *National systems for handling cases of research misconduct*. (2013), 17.
[17] L. Wager, "Research misconduct in the UK", *BMJ,* (2012): 344.
[18] L. Wager, "Research misconduct in the UK", *BMJ,* (2012): 344.

5. Questions directed at participating partners of WP3.1

In order to create a research protocol that identifies and unifies what data partners should collect and how sources should be documented, the general information on the registration system in every country of the partners involved needs to be mapped out. Every partner can consequently map out and report upon the structure in which the institutional procedures are embedded. Consequently, it will be clear which body for investigating cases of misconduct needs to be addressed for the data-gathering (either through a system of central registration, through overarching national bodies, through research funding agencies or integrity offices).

From each national partner we would like to gather answers on the following questions (with the help of those contacts):

Which body for investigating research misconduct is responsible for the registration of allegations of misconduct?

It is of utmost importance to map out the national structures and the levels at which the registration is being done.

- Is the registration happening at the level of the research institutions (either by institution itself or an independent commission)?
- Is the registration happening at an overarching body or office of research integrity?

Accordingly we will have a better understanding of where to start with the data gathering.

Is it compulsory for the registering body (either at the national, institutional or overarching level) to report upon the registered cases (on a website, annual report, ...)?

In some countries research institutions have the obligation to report the registered cases to an overarching body. In some cases this happens through an annual report, in other instances reports of allegations of misconduct are published online (e.g. the Netherlands).

Can you have access to the cases and procedures?

- Are the procedures available?
- Is there public access to reports of the registering bodies?
- Is the registering body willing to share information? (for example by filling out the excel sheet, see attachment)

6. Data gathering in partner countries

Certain elements can hinder data gathering for your country. Firstly, decentralization of registration for example makes it very difficult to gather data in a systematic way. Further, the process of data gathering can be hampered if your country counts a high number of research institutes, and lacks an overarching body that registered cases of misconduct within those institutes. Another possible complication can be the reluctance of institutes to share confidential data (even though anonymity will be guaranteed). Therefore, see the confidentiality letter in the attachment (example).

With the help of the previous section of questions we aimed at grasping the procedural structure of the registering practice by the involved institute or organization. The central goal of this deliverable, however, is to find answers to the following questions:

- How many notifications of misconduct reach the registering bodies each year?
- How many of those cases make it into an official file?
- What has been the actual outcome of these cases?
- (and if possible) What are the basic characteristics of these cases?

Once this information is gathered we will have an overview of the procedural steps in the registration of scientific misconduct in each partner country, consequently we will be able to grasp the selection process from notification to actual sanction. This will, eventually, give us relevant information about 'the tip of the iceberg'.

In order to systematically gather data on administrative procedures, we have drafted a form that is to be filled out by the registering bodies (see attachment below). After the initial data gathering, those separate sheets will be accumulated in one 'bigger' database that will eventually facilitate the analysis.

7. Next steps

With the help of the contact person and chair of Enrio, Nicole Foegel, we have gathered contact information from experts to get in touch with for the gathering of information and access to data. (see below)

- As a first step RU, CEUT, VUB, HiOA, UNIVBRIS, UT and LU should contact key persons and get information on which bodies of registration should be looked in order to include the full range of misconduct in research organizations.
- Secondly, the *body (or bodies) for registering cases of misconduct* should be contacted and asked for permission on data gathering (with the help of the necessary documents, consent, confidentiality letter, …).
- A data-gathering plan will be drafted by each partner, which states how the data will be gathered and in which time period and at which body for registering cases of misconduct. The excel data sheet can be a useful tool, that synchronizes the way in which the national partners gather their data.
- Further, partners should report on all the aspects of the data gathering, especially the issues that are involved in this.

  For example, it is possible that there are no records from before a certain time period or in certain parts of the country (as is the case in Belgium for example as the CSI were only installed fairly recently in Flanders). Unwillingness from registering bodies to cooperate, fragmented registration etc. are all possible issues that are worth reporting about, both for the Printeger project as for further research on the topic.
- A report on the incidence of misconduct will be prepared by the partners, and shared with task leader VUB.

  What can (or cannot be) be derived from the data and what does this tell us about the administrative proceedings and the procedural strain?

  The report should include information on the (public?) accessibility of data on scientific misconduct in research institutes, a report on the levels of registration and the followed procedures and steps in administrative procedures. The data will hopefully allow the national partners to report on specific characteristics of a reported case and the forms of misconduct registered but also the discrepancy between the *theory* of registration and registration *in practice;* cf. the books vs action.

Even in case of scarce data, this report on the incidence of misconduct can be very useful to map out procedural structures and administrative procedures from each partner country and can consequently tell us more about issues in data collection.

The task leader, VUB, can be contacted at all times in case of problems, questions or for advice.

The excel sheet can be modified, depending on the situation, so all feedback on it is more than helpful for us.

8. List of key contacts

Country	Name	Organization	contact
The Netherlands	Grace Van Arkel	former secretary general of LOWI	grace.van.arkel.enrio.eu@gmail.com
	Fauzia Roepnarain	Successor Van Arkel	Fauzia.roepnarain@lowi.nl
Belgium	Bert Seghers	VCWI	bert.seghers@kvab.be
Norway	Torkild Vinther	Founding members of ENRIO	torkild.vinther@etikkom.no
UK	James Parry	Ukrio	james.parry@ukrio.org
	Marc Taylor	Represenatative Enrio meetings	c.marc.taylor@gmail.com
Estonia	Kadri Maeger	ETAg (national funding agency)	Kadri.Mager@etag.ee
Italy	Ilja Pavone	CNR	iljarichard.pavone@cnr.it
	Cinzia Caporale	CNR	cinzia.caporale@cnr.it

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Nordforsk, *Research integrity in the nordic countries – National systems and procedures,* Oslo: expert seminar, 2014.

Merton, R.K. . *The Sociology of Science: Theoretical and Emprical Investigations*. Chicago: University of Chicago Press, 1973.

Kalichman, M., Sweet, M., and Plemmons. D., "Standards of Scientific Conduct: Are There Any?". *Science and Engineering Ethics* 20, no. 4 (2014): 885-896.

Attachments

Proposal of excel sheet to be filled in by the registering bodies of each research institute

Country:		Name Research institution:			Registering body:											
File	Year	Informal complaint	Formal complaint (Initiated cases)		Nature of the reported facts					Characteristics of the plaintiff			Characteristics of the accused			Outcome / sanction
			Admissable	non-admissable	Fals.	Fabr.	Plagiarism	QRP	Other	Professional status	discipline	gender	Professional status	Discipline	gender	
1																
2																
3																
4																
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Inventory of national institutes

Country:

Research Institutes

Research institutes	Acronym	Body for investigating and registering cases of misconduct (/ when non existent)

National research Funding institutes

Name funding institutes	Acronym

National overarching body of scientific integrity

Name organization	Acronym

Other

Name organization	Acronym

Example confidentiality letter

PRINTEGER confidentiality letter for access to statistical information and case studies

We are currently working on the EU-H2020 project *Integrity as an Integral Dimension of Excellence in Research* (PRINTEGER) in which the VUB (LSTS and CRIS) is a core partner, with a focus upon the legal and the criminological aspects.

The mission of PRINTEGER is to enhance research integrity by promoting a research culture in which integrity is part and parcel of what it means to do excellent research, not as an external and restrictive control system. More information available on https://printeger.eu/

To promote such a culture, an improved governance of integrity and responsible research has to be informed by practice. We aim at collecting information on misconduct in practice, starting with the indicators of the extent of misconduct, followed by analysis of what happens in individual cases of misconduct.

In a third work package of the project, the national partners need to gather indicators of the extent of misconduct and analyze how institutions respond to misconduct or deviance in science. This is located in the empirical phase of the PRINTEGER project and contributes to our analysis of what policies and organizational responses are most likely to engender a culture of integrity in research organizations, in which integrity is an integral part of research. The exploration of the incidence of misconduct is combined with the institutional response, since it is partly through this institutional response that misconduct is made explicit, or even defined. In order to fulfill this task, we need to require access to procedures that are being followed by registering bodies and data on allegations and cases of scientific misconduct.

We hereby kindly ask the permission to be able to access registered data on reported cases of scientific misconduct.

Confidentiality of data

All data will be used expressly and solely for the purposes of the research and shall be treated confidentially, guaranteeing individual anonymity as well as institutional anonymity (cf. in case of universities). Collected information (statistics and cases) will only be accessible for "local" (national partner) researchers on the research team.

When reported upon, following data shall not be identifiable:

- Personal data and information: name(s) of the person(s) accused of or reporting scientific misconduct,
- The department that the person involved is/was connected to,
- The name of the University and research group the person is/was connected to,
- The name of promotor's, colleagues, and co-authors of the person(s) in question.

Anonymity is guaranteed; the names of people involved will be anonymized in subsequent write ups and material submitted for publication and information that can lead to indirect recognition will be omitted as well.

What will be analyzed and reported upon?

- The suspicions on which the investigation was held
- Origins of the misconduct
- Particularities of the case
- The procedure of the registering body
- The final outcome and decision made by the registering body

If any further information is required about the research or the analysis and use of cases please do not hesitate to contact us:

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