

The Finnish Code of Conduct for Research Integrity

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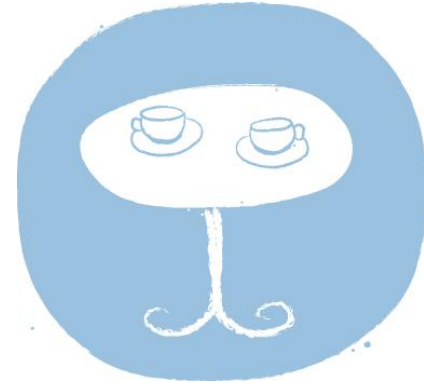
Finnish National Board on Research
Integrity TENK
(Research integrity morning ,Zoom 24.5.23)
Orig. slides: Special advisor Minna Aittasalo



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Programme



A TENK's RI Guidelines

B What's new? 

C The ethical principles of research with human participants (If there's time)



A TENK's RI Guidelines

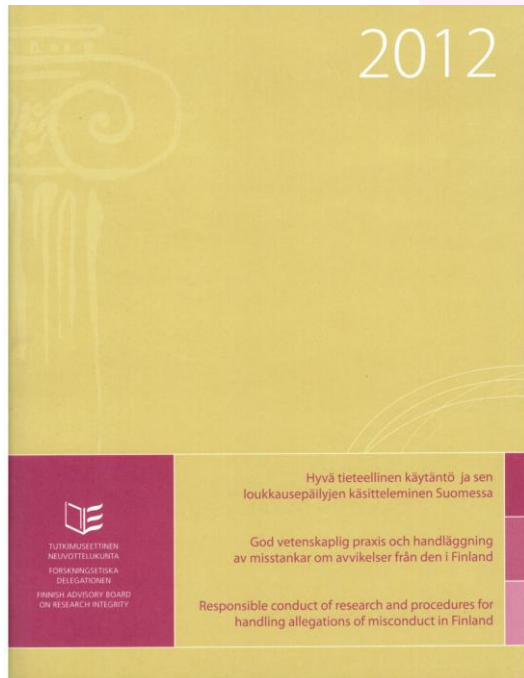


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1.1. RI Guidelines: Background and purpose



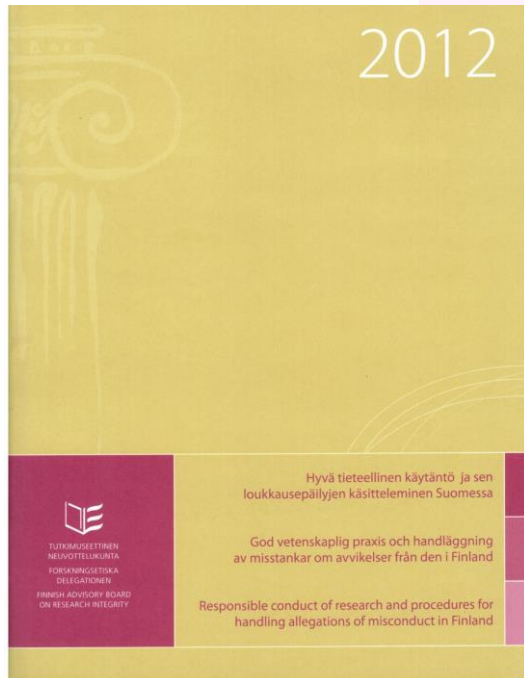
RI Guidelines

The Finnish guidelines consist of the following parts:

-  Definition of research integrity principles/good research practice
-  Classification of violations against RI / research misconduct
-  Procedure for handling the misconduct of research



2.1. Application of the RI Guidelines



15.3.2023



2.1. Instructions for transitioning (2012 → 2023)

Status	Instruction
The alleged violations took place and the RI process began before the organisation's commitment to the latest 2023 guidelines.	<ul style="list-style-type: none">• The alleged RI violation is investigated according to the guidelines enforced when the alleged violation took place.
The alleged violations took place before the organisation's commitment to the 2023 guidelines, but the notification of the alleged violation was submitted after the organisation's commitment to the 2023 guidelines.	<ul style="list-style-type: none">• The alleged RI violation is assessed using the guidelines enforced when the alleged violation took place.• The RI process is conducted following the 2023 guidelines.
The alleged violations have taken place and the notification has been submitted after the organisation's commitment to the 2023 guidelines.	<ul style="list-style-type: none">• The alleged RI violation is assessed and the RI process conducted using the 2023 guidelines.



2.2. Commitment to the guidelines

- Organisations have been able to commit to the 2023 guidelines since **15 March 2023**.
- Commitment to good research practices in accordance with the RI Guidelines is part of the **ethical self-regulation system of the research community**. Following these guidelines is binding for the committed organisations.
- An organisation commits to the guidelines by **the director signing the commitment form**. With the director's signature, the organisation commits to *promoting good research practices* in accordance with the RI Guidelines.
- The guidelines and additional material are available on the website: <https://tenk.fi/en> **Do not hesitate to consult them!**



2.3. Scope of the guidelines

- The Ri Guidelines are applied in the committed organisations to all types of academic research, including artistic disciplines and other research as well as RDI projects during the life span of these activities.
- In the guidelines, all these activities are referred to as **research**.



2.3. Exception: undergrad theses

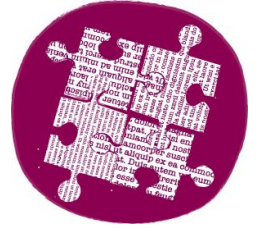
- The Ri Guidelines are applied to doctoral dissertations that have been submitted to preliminary examination

In addition, the RI Guidelines are not applied in following cases (unless also RI issues are involved):

- differences of opinion in scholarly or artistic academic disputes, or differences of opinion between schools of thought
- legal issues, such as violations of the Copyright Act, Data Protection Act, Patents Act or Administrative Procedure Act or breaches of obligations of confidentiality
- employment disputes or problems in the work community
- hiring decisions and appointments
- issues concerning professional ethics
- evaluation processes and publishing decisions by scholarly publishers
- the grades or evaluations of doctoral dissertations
- violations of discipline-specific ethical norms



3.1. Basic principles of RI

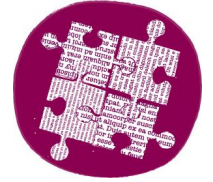


- **Reliability** in ensuring the quality of research, reflected in the design, the methodology, the analysis and the use of resources.
- **Honesty** in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair, full and unbiased way.
- **Respect** for colleagues, research participants, society, ecosystems, cultural heritage and the environment.
- **Accountability** for the research from idea to publication, for its management and organisation, for training, supervision and mentoring, and for its wider impacts.

(These are in accordance to the Allea-code)



3.2. Good research practices



- Neglecting good research practice can, at worst, lead to investigations of RI violations.
- Examples (There are more in the guidelines!):

3.2.1. Research environment

Research organisations

- make sure that the RI Guidelines are well-known and easily accessible

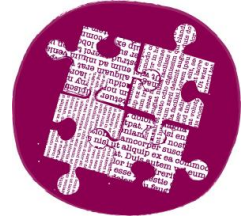
3.2.2. Training, supervision and mentoring

Research organisations

- ensure that students receive training in research integrity at undergraduate-, graduate- and postgraduate-level studies



3.2. Good research practices



3.2.3. Research procedures

Researchers

- design, carry out and document their research in a careful manner and, whenever possible, following the principles of open science

3.2.4. Safeguards and agreements

Researchers

- acquire any required permits, consent agreements and ethical reviews for their research before starting the collection of data

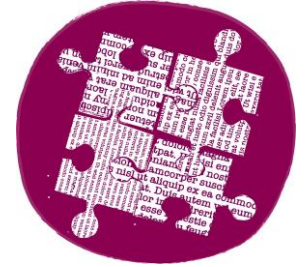
3.2.5. Data practices and management

All partners

- agree in advance about the ownership of the research data and about the rights to its use, its processing, storage and possible reuse



3.2. Good research practices



3.2.6. Collaborative working

All partners in collaborative projects

- agree about the objectives, rights and obligations of each partner

3.2.7. Authorship, publication and dissemination

Researchers and authors

- respect the work of colleagues and acknowledge their achievements and refer to them in an appropriate manner

3.2.8. Reviewing and evaluating

Researchers

- carry out review and evaluation assignments in a transparent, justifiable and confidential manner and take into account the legislation on conflict of interest in the Administrative Procedure Act



4. Violations against RI

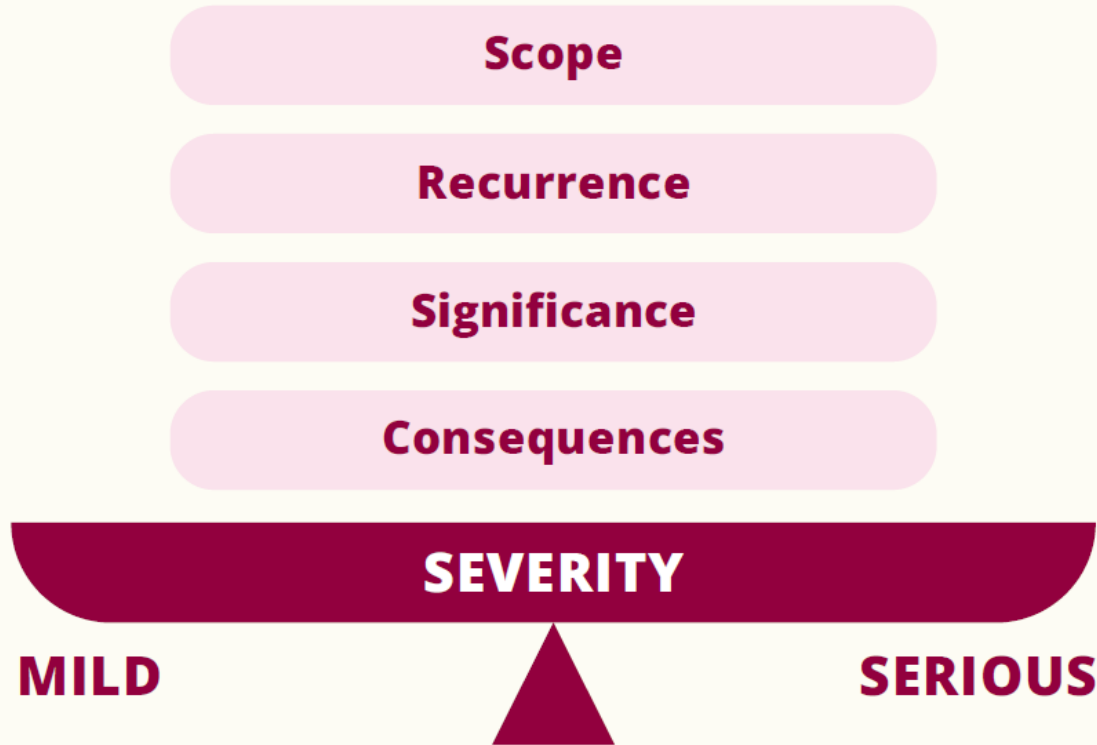


4.1. Definition of RI violation

1. An RI violation consists of breach of research integrity and good research practices.
2. It meets one of the following criteria:
 - Serious intentional activity that violates research integrity
 - Activity in which research integrity has been seriously neglected due to indifference or carelessness when principles of RI could have been followed
 - Activity in which research integrity has been seriously neglected due to ignorance and unawareness of RI principles and guidelines in force



4.1. Assessment of severity



4.2. Definitions of research misconduct



- **Fabrication:** “Fabrication refers to presenting fake observations, research data or results. In other words, for example the observations presented in a publication do not correspond to the methods described.”
- **Falsification/misrepresentation:** “Falsification means the manipulation of research findings. By falsification of observations, the results of the research are distorted. Deliberate data selection or omission can also result in falsification. Falsification can occur in publications, manuscripts intended for publication, teaching materials and funding applications.”
- **Plagiarism** (includes misappropriation (2012))：“Plagiarism, or unacknowledged borrowing, means using someone else’s work or research ideas without permission or reference. Plagiarism also infringes on the rights of the original authors. Plagiarism can be direct, modified or paraphrased. Plagiarism includes presenting or using as one’s own another researcher’s text or sections of text, research plans, manuscripts, articles, results, materials, research ideas, observations, programme codes, translations diagrams, images or other visual material without appropriate reference to the original. “



4.3. Disregard for good research practices



“Violations against research integrity that do not constitute research misconduct are referred to as **disregard for good research practices** according to the established practice in Finland.”





4.3. Examples of disregard

Disregard in planning and preparation

- Failure to request relevant permits, decisions and/or statements (e.g. official permits, data permits, research permits, decisions on the disclosure of data, ethical review statements by ethics committees)

Disregard in implementation

- Inappropriate use of research data or materials or failure to comply with research data agreements
- Inappropriately delaying or otherwise hampering the work of other researchers

Authorship-related violations

- Inadequate or inappropriate references to previous results
- Omitting a co-author who has made a significant contribution

Disregard by embellishing one's research achievements

- Misleading the research community, research funders or the general public over one's research
- Self-plagiarism, i.e. republishing one's own work without reference to the original publication

Disregard by misusing one's academic status

- Failure to declare significant conflicts of interest
- Violation of confidentiality in the peer review process

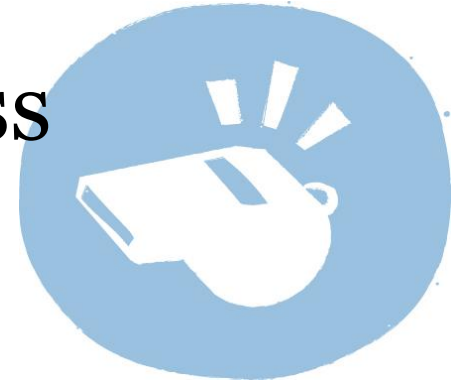
Disregard in the RI process

- Submitting a notification of an alleged RI violation with malicious intent

(List of examples, not exhaustive!)



5. The steps of the RI process



1. Notification is submitted

- ⇒ RI process is not initiated => Possibility to request a statement from TENK
- ⇒ Preliminary inquiry is initiated

2. Preliminary inquiry

- ⇒ RI process concluded => Possibility to request a statement from TENK
- ⇒ Investigation proper is initiated

3. Investigation proper

- ⇒ RI process concluded => Possibility to request a statement from TENK



THE STEPS OF THE RI PROCESS

1. Notification is submitted

RI process is not initiated

Preliminary inquiry is initiated

2. Preliminary inquiry

RI process concluded

Investigation proper is initiated

3. Investigation proper

RI process concluded

Possibility to request a statement from TENK

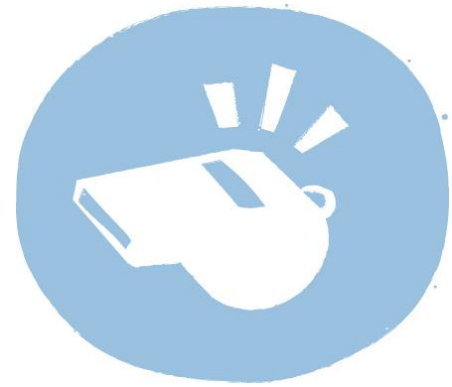
≤ 30 d

≤ 2 mo

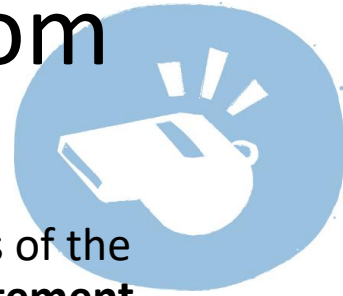
≤ 3 mo

≤ 5 mo

max 8 mo



5.3. Requesting a statement from TENK



- **If the complainant or the respondent is dissatisfied** with the outcomes of the preliminary inquiry or the investigation proper, **they may request a statement from TENK.**
- This must be done **within 30 days** of receiving the director's decision
- **TENK** has been appointed by the Ministry of Education and Culture as **the highest authority on good research practices and the RI process in Finland.**
- **Therefore it is necessary that the director takes TENK's statements into account also when they differ from the director's decisions.**
- **The statements made by TENK cannot be appealed** because they are not decisions made under the Administrative Judicial Procedure Act.
- Summaries of TENK's statements are published on TENK's website.



5.3. The statement process



- Dissatisfied party requests a statement from TENK =>
- TENK decides whether to issue a statement =>
- If necessary, TENK asks for responses from the other party of the dispute and the director =>
- Possible responses =>
- TENK asks for comments from the person requesting the statement =>
- Possible comments =>
- TENK prepares a statement =>
- TENK makes a decision in the Board meeting =>
- The statement is finalised =>
- The statement is sent to the parties involved



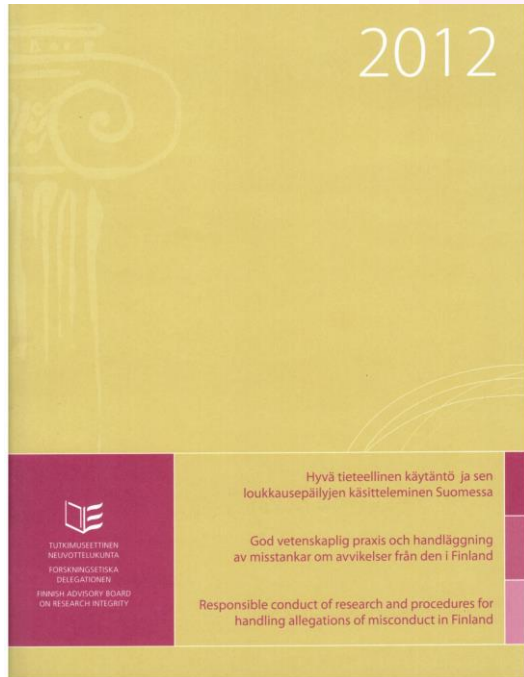
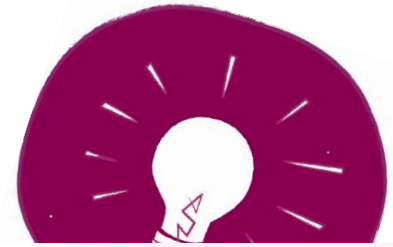
5.4. Sanctions



- After the RI process is concluded, the director of the organisation makes a reasoned decision about the presence of an RI violation and the researcher(s) at fault.
- **The director informs all the organisations, funders, publishers and persons involved about the decision through appropriate channels.**
- **The director of the organisation decides on the sanctions for RI violations.**
- **TENK does not comment on these sanctions.**
- The sanction for an RI violation must be in **just proportion** to the severity of the violation. TENK needs to be notified of the sanctions and their implementation.



B What's new?



15.3.2023



What's new? 1/2



1. Rules for transitioning
2. Undergrad theses no longer reviewed within the RI process
3. Harmonization with EU's ALLEA-code
4. Improved detail in definitions of violations
5. Severity assessment as part of process



What's new? 2/2



6. Misappropriation no longer its own category
7. Examples of disregard (no numbered lists)
8. Duration of processes
9. Clarification of TENK's statement's weight
10. Implementation of sanctions



The ethical principles of research with human participants



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Ethical principles of research with human participants

Ethical principles of research in the humanities and social and behavioural sciences and proposals for ethical review (2009)

-> **revision 2019:**

[*The ethical principles of research with human participants and ethical review in the human sciences in Finland*](#)



Emma-video

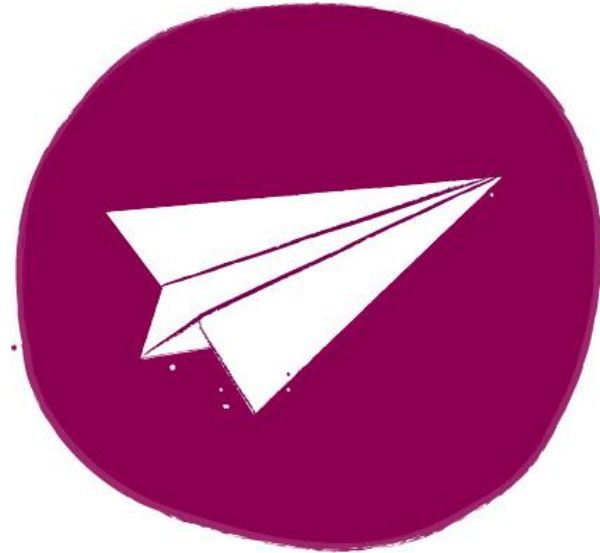
<https://tenk.fi/en/ethical-review>



Thank you!



www.tenk.fi/en



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