

The Finnish code of conduct for research integrity and procedures for handling alleged violations of research integrity in Finland

The RI Guidelines 2023

Training JYU 10.11.2023



TUTKIMUSEETTINEN
NEUVOTTELUKUNTA
FORSKNINGSETISKA
DELEGATIONEN

FINNISH NATIONAL BOARD ON
RESEARCH INTEGRITY TENK

Introduction

- Research integrity advisers at JYU
 - 2022-2023: Mikko Simula (sport&health) ja Juha Merikoski (science)
 - provide advice and support related to RI and the official RI process
 - contact: research-integrity@jyu.fi
- Basis:
 - instructions at tenk.fi particularly the booklet [RI_guidelines_2023.pdf](#)
 - TENK = Finnish National Board on Research Integrity
- Note: for review of research plans by the ethics committee
 - contact: ethics-committee@jyu.fi



TENK instructions 2023: changes from 2012

- Duration of the RI process shortened
- Added the role of research integrity advisers
- Categorisation of RI violations to match international practice
- Assessment of the severity of a RI offense
- European principle of protection of those involved in investigations
- Requirement for researchers to declare conflicts of interest
- Master's theses handled according to internal processes of institutions
- Term **research integrity (RI)** instead of responsible conduct of research (RCR)

Commitment to RI guidelines

Commitment to research integrity according to TENK guidelines is part of the **ethical self-regulation** of the research community.

- Who can commit to the guidelines:
 - **research, development and innovation bodies** such as universities, universities of applied science, research organisations, think tanks, businesses, libraries, archives, museums, science centers etc.
 - organisations that **promote and support science and research**, such as learned societies, funding organisations and publishers
- JyU has already committed to the TENK guidelines 2023



Where the RI process applies

- Academic and other research projects and RDI projects
 - international projects, research cooperations, commissioned research
- Artistic research and artistic productions
- Research publications, irrespective of the format or channel
 - doctoral theses after submitted for preliminary examination
- Societal engagement and research communication
- Expert activities
 - e.g. referee and expert statements and evaluations
- Research-related applications
 - e.g. job and funding applications, research permits, CVs



Basic principles of good research practices

- **Reliability**

In ensuring quality of research, as reflected in design, methodology, analysis and use of resources

- **Honesty**

In developing, undertaking, reporting and communicating in a transparent, fair, comprehensive and unbiased way

- **Respect**

For colleagues, research participants, society, ecosystems, cultural heritage and the environment

- **Accountability**

For research from idea to publication, for management and organisation, for training, supervision and mentoring and for wider impact



Purpose and application of GRP guidelines



- Ensuring good scientific practice requires the application of the GRP guidelines in all the activities of the scientific community.
- The goal is to strengthen an operational culture based on the ethical code included in the GRP guidelines .
- Strengthening and nurturing such a operational culture is the responsibility of all members of the scientific community.

Research environment	Training, guidance and mentoring	Research procedures	Safeguards and agreements
<ul style="list-style-type: none"> • Awareness of the RI guidelines • Organisation and fluency of the RI process 	<ul style="list-style-type: none"> • Education in basic and postgraduate studies • Appointing and resourcing a RI support person 	<ul style="list-style-type: none"> • Compliance with the RI guidelines in the planning, resourcing and implementation of research 	<ul style="list-style-type: none"> • Obtain permits, consents and ethical review before data collection
Data practices and management	Collaborative working	Authorship, publication and dissemination	Reviewing and evaluating
<ul style="list-style-type: none"> • Agreeing on data ownership and usage rights before data collection • Compliance with data protection obligation 	<ul style="list-style-type: none"> • Agreeing on objectives, rights and obligations when starting cooperation 	<ul style="list-style-type: none"> • Agreeing on authorship in accordance with authorship recommendations • Compliance with RI guidelines 	<ul style="list-style-type: none"> • Carrying out expert and evaluation tasks transparently, responsibly and confidentially



Violations against research integrity

- Violations of good research practices
 - breach the principles of research integrity, damage the quality and credibility of research and undermine research collaboration and authorship
 - ✓ may also be against the law, in which case they are investigated also in official or judicial procedures
- Two categories:
 - 1) Research misconduct and 2) Disregard for good research practices

Definition of an RI violation



Serious intentional activity that violates research integrity

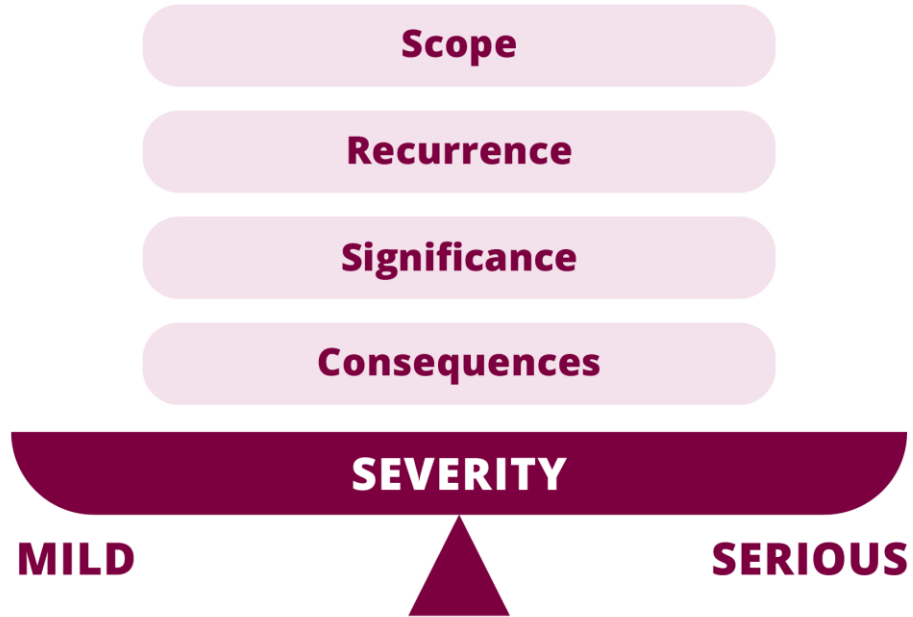
OR

Activity in which research integrity has been **seriously neglected** due to **indifference or carelessness**, when principles of RI could have been followed

OR

Activity in which research integrity has been **seriously neglected** due to **ignorance and unawareness** of RI principles and guidelines in force

Assessment criteria for the severity of RI violations





Research misconduct

- **Fabrication:** presenting fabricated observations, data or research findings
- **Falsification:** manipulation of research findings by e.g. deliberate selection or omission
- **Plagiarism:** using someone else's work or research ideas without permission or reference; includes misappropriation. Plagiarism can be direct, modified or paraphrased.

Disregard for good research practices

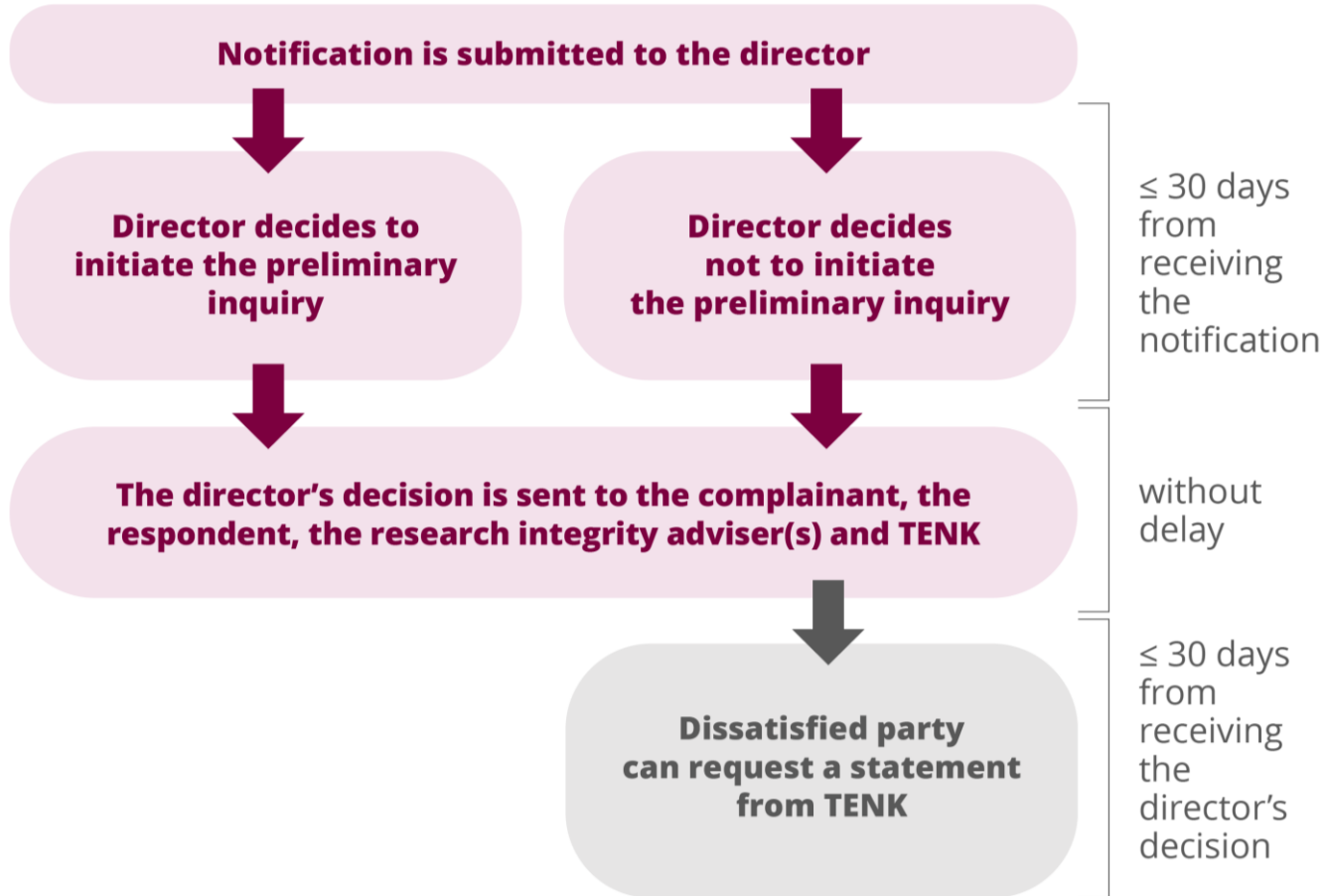


- In planning, preparation and implementation (research permits, ethical reviews, data management, non-compliance with permits and guidelines, etc.)
- Inappropriate obstruction of the work of other researchers and violation of authorship
- Exaggeration of the significance of scientific work and own merits, inappropriate use of one's own position (misrepresentation, abuse of power)
- Discrimination against those reminding people to follow the RI guidelines and filing a malicious notification of suspected RI violations

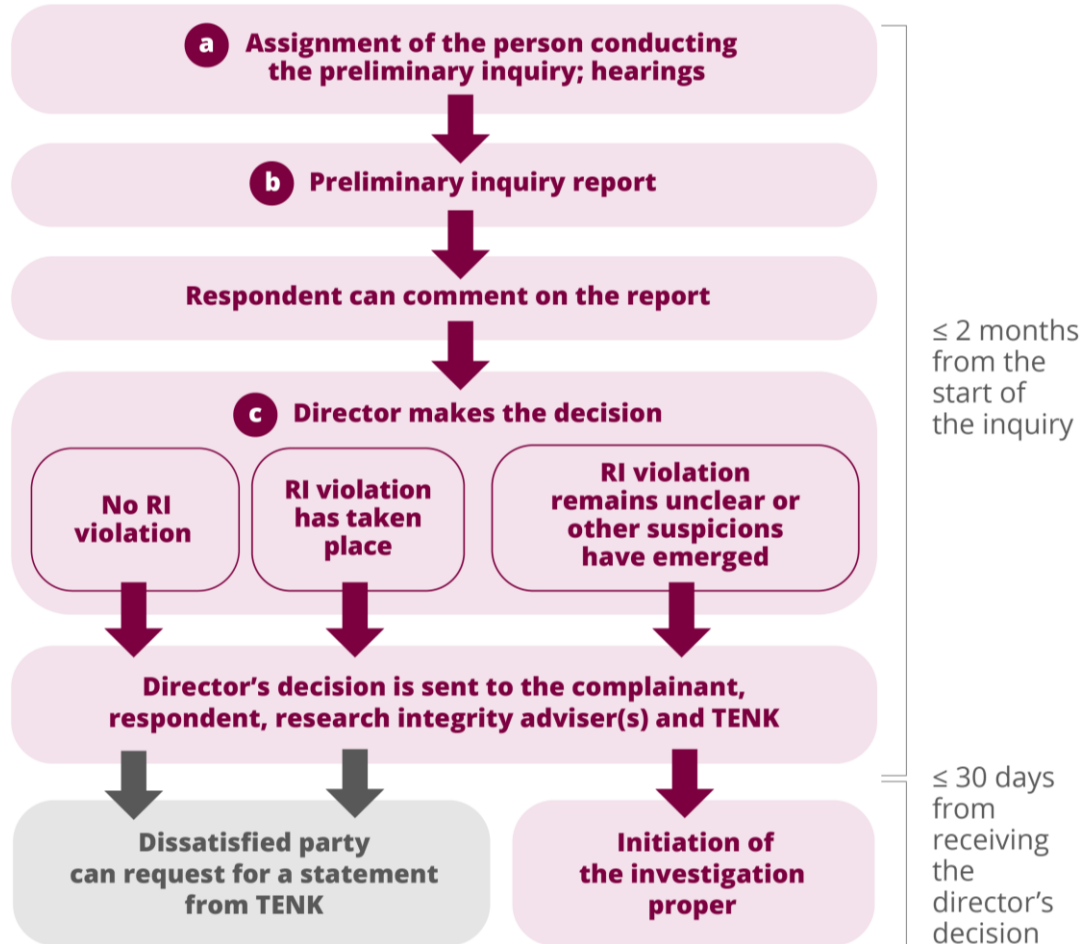
Submitting a notification of an alleged RI violation

- The RI process begins when the organization committed to the RI guidelines receives a written notification of the alleged RI violation.
- A notification of a suspected RI violation is submitted using TENK's notification form.
- The notification of suspected RI violations is made in one's own name.
- Research integrity advisers provide confidential and impartial advice to the parties at all stages of the process.

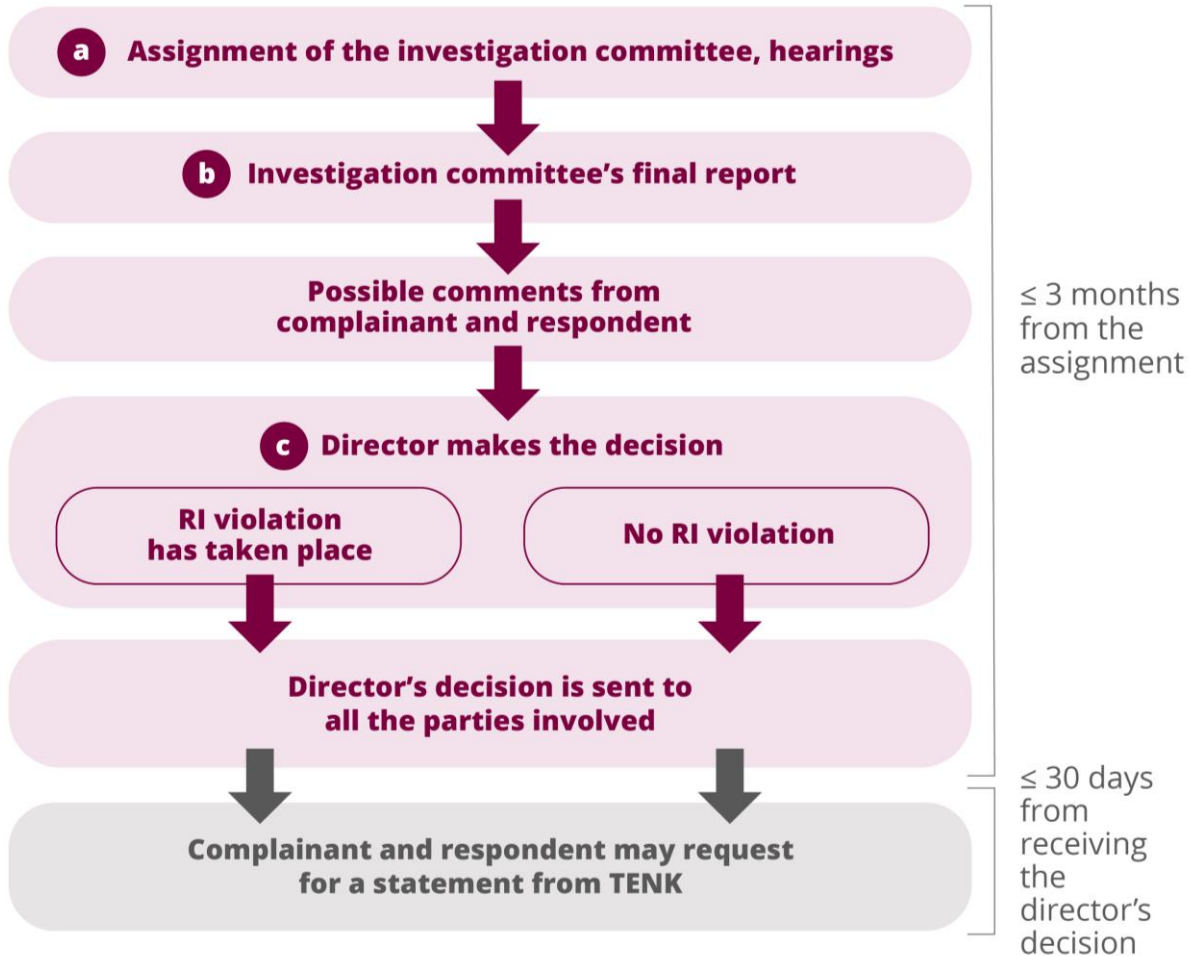
STEP 1 OF THE RI PROCESS: SUBMISSION OF THE NOTIFICATION



STEP 2 OF THE RI PROCESS: THE PRELIMINARY INQUIRY



STEP 3 IN THE RI PROCESS: INVESTIGATION PROPER



Request for a statement to the Finnish National Board on Research Integrity and the significance of the statement

- If the person making the allegation or suspect is dissatisfied with the Director's decision, the implementation of the preliminary investigation or the actual investigation, or the conclusions of the reports, he or she may request a statement from TENK.
- The director responsible for the RI process must also take TENK's statement into account when it differs from the director's own previous decision.
- TENK's statements cannot be appealed.



Sanctions for an RI violation

- The director informs relevant organisations, funders, publishers and others involved about the conclusion of the RI process and the report **in a way the director deems appropriate.**
- 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.





JYVÄSKYLÄN YLIOPISTO
UNIVERSITY OF JYVÄSKYLÄ

Research integrity (RI) processes at JYU

Juha Merikoski, RI-adviser, JYU

Mikko Simula, RI-adviser, JYU

Raija Oikari, draft person of RI-processes

Handling alleged violations of good research practices at the University of Jyväskylä

- Investigation under the direction of the Rector in the process defined by TENK.
- More information and guidelines at university www-pages:

University of Jyväskylä > Code of Conduct > RCR

- Research integrity advisers at JYU: research-integrity@jyu.fi

Juha Merikoski, Faculty of mathematics and science
Mikko Simula, Faculty of sport and health sciences

Notifications, issues and conclusions of research integrity processes at JYU 2010-2022 (n=26)

Issue	Suspicion	Conclusions	Measures
research article	presenting results as one's own	disregard for GRP	-
	authorship negation	disregard for GRP	-
	authorship negation	unjustified	-
	authorship negation	no preliminary inquiry (outside JYU)	-
	plagiarism	no preliminary inquiry (outside JYU)	-
	plagiarism	unjustified	-
	self plagiarism in several articles	justified	pausing publishing processes and correcting the CV

Notifications, issues and conclusions of research integrity processes at JYU 2010-2022 (n=26)

Issue	Suspicion	Conclusions	Measures
doctoral thesis	disregard for GRP in implementing and reporting the research	shortcomings in implementation and reporting	-
	plagiarism of research design and results	unjustified	-
	plagiarism	research misconduct	lowering the grade of a dissertation
	self-plagiarism	RI-violation	statement enclosed to the thesis
	plagiarism and self-plagiarism	research misconduct and disregard for GRP	corrections to the manuscript

Notifications, issues and conclusions of research integrity processes at JYU 2010-2022 (n=26)

Issue	Suspicion	Conclusions	Measures
master's thesis	plagiarism	research misconduct	-
	plagiarism	research misconduct and disregard for GRP	statement enclosed to the thesis
	self-plagiarism	carelessness	corrections to the manuscript
	violation of RI guidelines	unjustified	-
	manipulation of authorship	unjustified	-

Notifications, issues and conclusions of research integrity processes at JYU 2010-2022 (n=26)

Issue	Suspicion	Conclusions	Measures
recruitment process	exaggeration of merits	unjustified	-
	disqualification of evaluators	unjustified	-
utilization of data	unauthorised utilization	intellectual property case	-
	unauthorised utilization	research misconduct	publication of the decision in the journal where the article was published

Notifications, issues and conclusions of research integrity processes at JYU 2010-2022 (n=26)

Issue	Suspicion	Conclusions	Measures
CV	documenting a project as one's own	unjustified	-
expert statement	disregard for GRP	unjustified	-
presentation	disregard for GRP	unjustified	-
development of a validated test method	reliability of the manuscript and article on the test method	research misconduct and disregard for GRP	notification to relevant parties
research idea	plagiarism of research idea	unjustified	-

Greetings from the RI advisers

- The RI process is a valid way to deal with ambiguities related to responsible conduct of research (RI).
- In addition to a valid RI process, training in research integrity and regular discussion on responsible conduct of research are needed in all faculties.
- research-integrity@jyu.fi



Thank you for your attention!