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Ecosystem of academic ethics. How to ensure its functionality?

Assoc prof Vaidotas Vaišis

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SAPERE AUDE

How to avoid academic ethics conflict?

You have to know what it is

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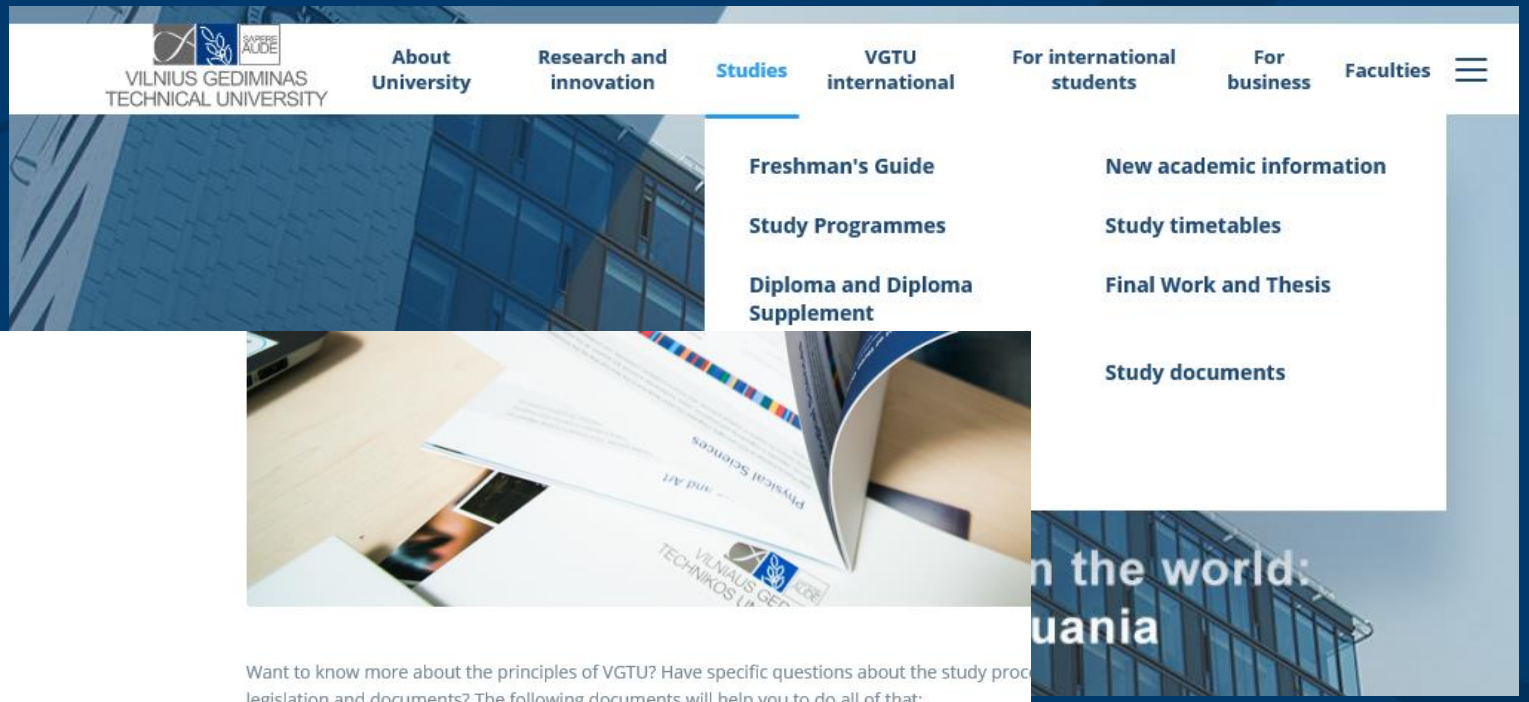
Code of academic ethics



https://www.vgtu.lt/files/1395/69/3/11_0/81-2.5.%20Akademines%20etikos%20kodeksas%20(1)_EN.pdf

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Main aims

Aims at promotion studies and scientific work quality culture, and socially responsible behaviour, upholding academic integrity, transparency and responsibility in regards to the interested parties(1).

Prevention shall be the most important action but not the punishment for unethical behavior(5.1)

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Scope of parties

Academic community – University's administrative, pedagogical and scientific personnel, students and unclassified students.

Law and Ethics Commission – University Senate's formed collegiate body that carries out the supervision of the code of academic ethics.

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Functions

- perform regulative functions
- fundamental measure
- help academic members be socially responsible
- activity transparency
- form University's image
- guided when building interrelationships
- specify regulating measures (e.g. positive sanctions – reward, acknowledgment etc., negative sanctions – a temporary suspension from academic activity, exemption, etc.).

(6)

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Academic freedom

right of academic society members to openly express their opinion in regards to the organization and administration of studies and scientific researches, to make uncensored remarks and be freely involved in academic activities with chosen methods. University is committed to protect the members of academic community from restrictions.

(8)

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SAPERE AUDE

Responsibilities

- tolerance to other opinion and reasoned criticism of members of academic community
- regard to other academic community members
- regard of right to respond to the criticism or accusations
- don’t participate in scientific research or experimentations, related to the harm of humanity, nature, society or culture

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Duties

- actively pursue academic honesty standards and open access principle
- seek that activities serve common University interests
- report to the law and ethics commission on the cases corruption illegal impact on the University's community member

(10)

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Duties

- submit the information to the law and ethics commission and (or) ombudsman of academic ethics and procedures of the Republic of Lithuania, on the possible violations of academic ethics and (or) procedure
- refuse to use a right to vote if it may cause the conflict of interests
- use University's name and work status for political (personal) purposes

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Relationships of academic community members

Based on respect, goodwill, impartiality and non-discrimination. Principles are violated when:

- academic community members are discriminated against by language, actions or academic assessment, also when such discrimination is tolerated
- academic community member is belittled by someone exercising ones primacy

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Interrelationship of academic community members

- professional competition gain unfair forms (unlawful, dishonest transactions, conflicts and intrigues)
- belittles the absent colleague's pedagogical and (or) academic work skills, theoretical views and personal qualities
- reference to personal, business or political relation
- disclosure of confidential information (academic achievements, salary, career intentions, personal matters and so on)

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Use of University's scientific base and other resources

- must be sustainable, responsible and intended for fulfilment of scientific and studies institution's undertaken obligations
- material, human and financial University's resources must not be used for political activities, private business or personal needs
- University's resources must not be abused
- University's property must not be destroyed

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Ethics between PhD student ant supervisor

Relationship shall be based on principles of academic cooperation and transparency.

These principles are violated when:

- non-academic nature relationships aims to be established
- regards to a family member, close friend, business partner if there is a possibility to avoid such role
- receiving of directly or indirectly (through other persons) gifts and (or) non-academic or academic services

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Legal duties of students

I did‘t know!!!

Each student admitted to the University shall sign the student’s honesty declaration, which shall be valid during the entire period of a valid study agreement.

(19)

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SAPERE AUDE

What if…?

Law and ethics commission admits and consider the notifications or information on possible violations of academic ethics.

In some universities Students' Representation has a separate review commission for potential violations of ethics.

Academic ethics and procedure ombudsman of the country.

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Procedure of notification on possible violations of academic ethics

Notifications shall be submitted to the law and ethics commission in writing.

Only motivated notifications shall be accepted for consideration.

Anonymous notifications shall be not considered.

(24.9)

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Procedure of notification on possible violations of academic ethics

Assurance of response

Law and ethics commission shall not look into notifications or information, except plagiarism cases, if more than 60 calendar days has passed from the day when possible violations have happened, or the day it was disclosed.

(24.8)

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Procedure of notification on possible violations of academic ethics

Assurance of response

On the decision not to examine, ethics commission inform the person in writing no later than 10 working days after the day of the receipt of the notification or information.

Law and ethics commission has to report on decision not to examine the notification or information immediately and shall pass it to the ombudsman of academic ethics and procedures of the Republic of Lithuania. (24.8)

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Procedure of notification on possible violations of academic ethics

Academic community member, in regards to whom the notification or information was received:

- Immediately is informed on its content, and can submit the written explanation within 5 working days.
- Can request access to personal data related to subject material (depersonalize if other person related data is present).

(24.11)

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Procedure of notification on possible violations of academic ethics

- Commission has a right to make a decision if member of academic community refuses to provide explanations.
- Member of academic community has a right to participate in commission sitting.
- Commission must follow the confidentiality requirement while the investigation is ongoing.

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SAPERE AUDE

Research ethics

The researcher's behavior must be morally and socially responsible.

Academic honesty principle is violated during:

- counterfeiting, forgery or manipulation
- stealing or deliberately damaging research data
- plagiarism
- academic bribery – offering, giving, requesting (personal or in group)

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Counterfeiting, forgery or manipulation

- creation of non-existent data, adjustment of existing data with the aim to improve or worsen the results
- counterfeited signatures, certificates, reports' data or results, and other documents
- non-existent source, erroneous data of the source description
- concealment of received data, contradicting the hypothesis, study or research findings

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Counterfeiting, forgery or manipulation

- deliberately presenting misleading information about the empirical research methodology
- ungrounded (undeserved) co-authorship imposing (students, colleagues, subordinates or superiors)
- unjustifiable denial or concealment of people's intellectual or financial contribution, assistance in scientific activities

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Stealing or deliberately damaging research data

- damaging empirical research data,
- harming computer programmes,
- damaging empirical data examples
- harming manuscripts or other research notes

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Plagiarism

Ideas, data or words are presented as one's own without the reference to the author:

- presentation of another's text without quotation marks – quotes or other forms of isolation from the whole text
- exact source is not provided when retelling or quoting another's idea, illustrational material or data

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Plagiarism

Researcher bases his or her work on knowledge that already exists and uses available data.

It is crucial that the researcher clarifies who has done what.

Main principle – avoid misleading presentation of the researcher's contribution.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Plagiarism

Texts, formulation and etc. congruence can now be established using the Internet or databases created for this purpose.

However, considerations of similarities between a work and a suspected source can never serve as the sole evidence.

In an actual investigation, it’s important to consider the researcher’s explanation.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Duty for researchers to publish their results.

First - enables the scientific community to scrutinise and discuss achieved results and it has to meet a quality standards.

Second - publication serves as an announcement of what the researcher (or group of researchers) concerned has accomplished.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Quite often doctoral student present a thesis incorporating a number of their articles.

Further publications serves as criteria for assessing the worth of a contributing researcher, for example when he or she is applying for a position.

From institutional site citation of published work nowadays also influences the distribution of governmental research funding to different universities and colleges.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Important

Background, materials and conclusions

- background to the study should always be included in the published report
- use of quoting and referring to relevant earlier publications

Why? - other researchers will not be able to scrutinise the results.

Disclosure of financial and scientific dependence

- clearly disclose any ties or dependencies that may exist - any individuals or bodies providing financial support for the work, research commissioned organization and etc.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Important

Reproducibility

- experimental studies must also be presented in such a way that their reproducibility can be tested
- statistical analysis must be clear and adequate for the method used
- any dropout and excluded observations must be reported

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Open access

Advantages

- for researchers, it is an excellent way of rapidly presenting their findings, and making their texts easily accessible
- scientific work financed by public funds should also be openly accessible to all

Disadvantages

- Additional costs

Open access, there are three options:

- open-access journal
- hybrid publication
- self archiving

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

As number of published works play a major role – recruitment, projects evaluation and etc - it rise problem of misleading results.

Duplicate publication, i.e. the publishing of articles very similar in content

Self citation - own citations and citations by other authors

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Author's responsible:

- for the contents of publication

- to check parallel publishing before one and the same manuscript is simultaneously submitted or published in several different journals

- to make sure that the references and quotations in the text are correct

All it applies to ALL authors

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Multiple authorship

„no one is listed as an author who should not be, and that no one who should be so listed is omitted“

ALL authors will bear the responsibility in the event of an investigation into research misconduct

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Multiple authorship

- Who should be designated as the author or authors of an article?
- In what order should multiple authors be listed?

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Vancouver Rules

Authorship credit should be based on

1) substantial contributions to conception and design, acquisition of data, or analysis and interpretation of data;
2) drafting the article or revising it critically for important intellectual content; and

3) final approval of the version to be published.

Authors should meet conditions 1, 2, and 3.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

The order of authorship practices vary

Mainly two types are most usually present:

- list the authors in alphabetical order
- list the authors according their contribution

Measures of worth based on bibliometric methods often do not consider the order of the author list.

If the trend of using bibliometric evaluation systems continues, the order will likely become less important.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Research misconduct

It refers to obvious violations involving the theft of other people's ideas and data, manipulation (or falsification) of data, and plagiarism of other people's texts.

How to distinguish between intentional fraudulent behavior and carelessness, inattentive rushed work and incompetence?

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Fabrication and falsification

- fabricating data or results
- certain data or experiments are left out of the report
- when “outliers” can be justified to call them anomalies or mistakes

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Unpublished material and self-plagiarism

Researcher may also have access to material before its publication, for instance through lectures, presentations, congresses and other meetings.

Access to material in the role of external assessor, reviewing a manuscript, as a member of an examining committee – this material should be considered confidential until it has been published.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Publishing research results

Self-plagiarism

Researcher refer to his or her earlier results.

Important to consider that it's a quotation from the researcher's previous work and should be presented as such. It's called self-citation.

Self-plagiarism is neglecting these precautions.

It's very complicated not to come in situation of double publication.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Public media

Researchers social responsibility

Public's trust in research

Preliminary and unverified results should not be made public, even if they are very interesting for media.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Responsibility for ethical and legal compliance

Ethical and legal rules vary depending on the kind of research being conducted.

Supervisor is responsible for ensuring that the necessary approvals have been obtained and that the project complies with the ethical standards relevant to the type of research involved.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Codes of research and professional ethics

Personal data - directly or indirectly linked data to a physical person.

European Convention on Human Rights states that "Everyone has the right to respect for his private and family life, his home and his correspondence"

Sensitive personal data "revealing racial origin, political opinions ... health or sexual life", as well as "personal data relating to criminal convictions" - domestic law should provide appropriate safeguards

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Codes of research and professional ethics

Data covered by secrecy must not be disclosed.

Animal Welfare Act (SFS 1988:534) and *Animal Welfare Ordinance* (SFS 1988:539) apply to research on animals

Useful link: www.codex.vr.se
full texts of codes of research ethics for different disciplines and fields of research

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Codes of research and professional ethics

Good Clinical Practice (GCP) [www.efgcp.eu]

Council of Europe's Convention for the Protection of Human Rights and biomedicine (Oviedo Convention)

Council for International Organizations of Medical Sciences (CIOMS)

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Supervisor and postgraduate supervision

The tasks of the supervisor

In general a supervisor has a responsibility to create conditions that will help to develop the doctoral student's knowledge and skills.

One of most important tasks is individual plan of study consistent with the general guidelines laid down by the faculty and the department.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Supervisor and postgraduate supervision

Discussion of the basic prerequisites for the research work with the doctoral student is crucial.

Supervisor:

- serves as a support, a contributor of ideas, a critic and a discussion partner
- also is the person who critically analyze the texts that the student produces.
- has to give opinions on methodology issues, as well as on questions of interpretation and results

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Supervisor and postgraduate supervision

Supervisor acts as both adviser and critic

It is both important and difficult. Criticism must not be withheld out of a misguided concern.

Supervisor and doctoral student often work very closely together it is important that the professional relationship takes precedence.

The supervisor has a responsibility to ensure that. If else happens, the supervisor must hand over the task to someone else.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Supervisor and postgraduate supervision

How justice can best be done to the contributor's input as the work continues?

In the thesis, the doctoral student should account for any contributions by others, including his or her supervisor.

Vise Versa

The supervisor should not conceal ideas originating from the student

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Supervisor and postgraduate supervision

Postgraduate relationships

Ideas that the supervisor suggests to the doctoral student for further investigation, however, do not thereby become the latter's property.

The supervisor, too, must be able to continue to work on these ideas in his or her own research without jeopardising the student's research work.

Source: GoodResearch Practice, 2017, 59
https://www.vr.se/english/analysis/reports/our-reports/2017-08-31-good-research-practice.html

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Assurance of equal opportunities

Non-discrimination promotion and mutual understanding and tolerance regarding:

gender; race; nationality; language; origin; social status; faith; convictions or views; age; sexual orientation; disability; ethnicity; religion.

[Vilnius Gediminas technical university declaration on assurance of equal opportunities https://www.vgtu.lt/files/1442/72/3/3_0/91-3.2%20Deklaracija%20dėl%20lygių%20galimybių%20užtikrinimo_EN.pdf]

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Assurance of equal opportunities

Discrimination – can be direct or indirect.

Direct discrimination – is when an individual is subjected to less favourable treatment or conditions than others

Indirect discrimination – is an action or inaction which implementation or application can potentially cause or actually does cause restriction of rights

[Vilnius Gediminas technical university declaration on assurance of equal opportunities https://www.vgtu.lt/files/1442/72/3/3_0/91-3.2%20Deklaracija%20dėl%20lygių%20galimybių%20užtikrinimo_EN.pdf]

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Additional material

Example of plagiarism evaluation programs

assignees was used in order to distinguish assignees into groups of private/individual investors, private and public companies.¶

Despite the recent boost of interest, one of the fundamental challenges remaining in studying FinTech is that currently there is no standard definition of what FinTech really is and it is not at all clear what explicit technologies it covers.¶

For this purpose a list of finance related terms was generated to pin down patent applications to those that are related to financial services and products????¶

After application of machine learning algorithms to gathered patent application data, main FinTech innovations categories can be distinguished: blockchain, mobile transactions, peer-to-peer, cybersecurity, internet of things (IoT), data analytics, and advising.¶

In order to determine the value of a FinTech innovation patent application to several publicly traded companies new methodology was developed. Valuation is based on reaction of stock market to WIPO reveal of patent application. Foreach patent filing, predicted count intensity with a company's stock price movements is combined to infer the underlying value of the innovation to the company.¶

Such valuation approach, gives an opportunity to determine how much companies operating in the financial services sector tend to gain from FinTech innovations of their own. Overall study shows that blockchain, robo-advising and cybersecurity are among most valuable innovations to the companies.¶

Valuation method is extended to determine how financial services sector is effeted by FinTech innovations in broadly covered areas: banking, payment, processing, brokerage, asset management, and insurance. Developed method allows to determine innovation's value impact on a financial industry using stock price data, that means it is limited to measure effect of publicly traded companies.¶

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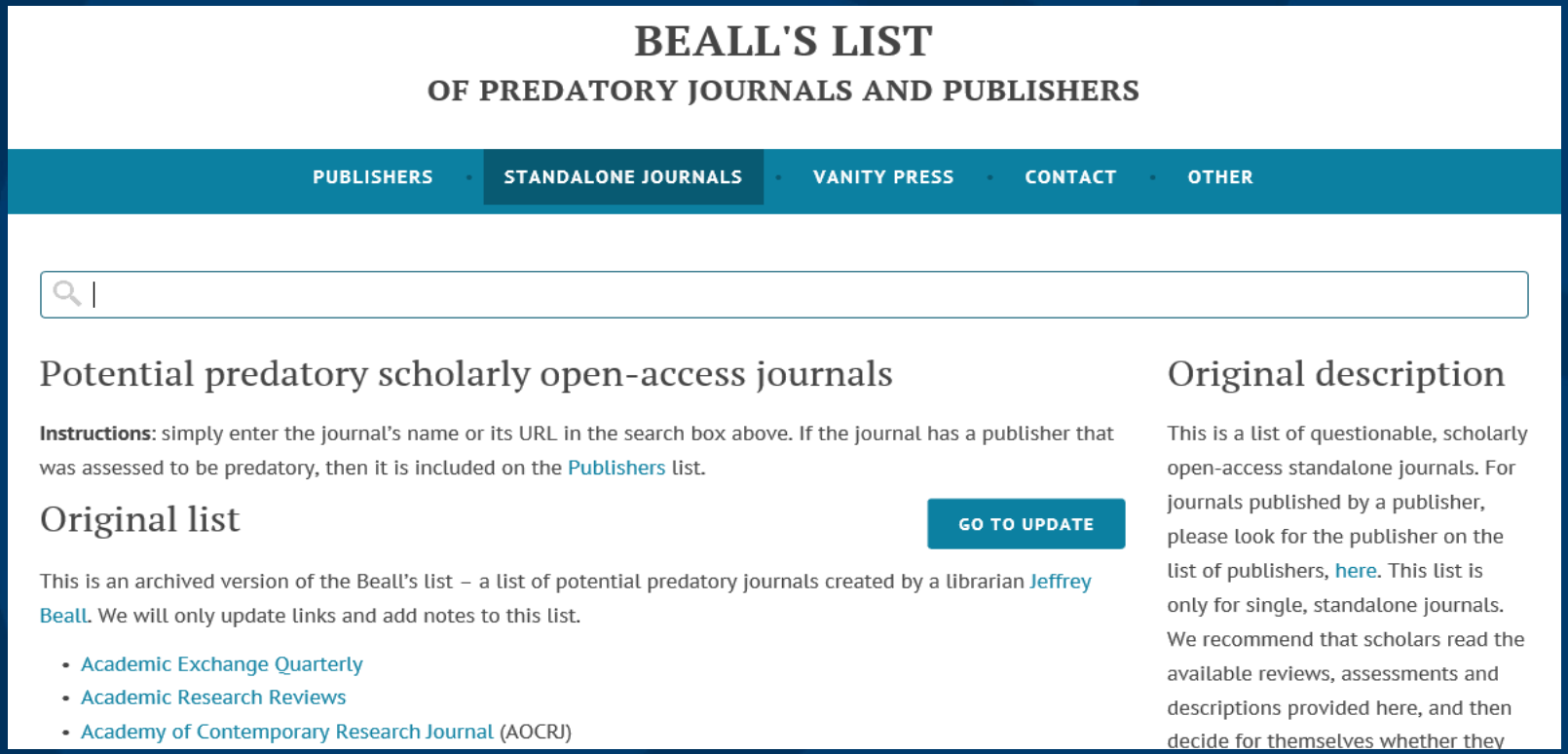
Additional material

Predatory journals

https://beallslist.weebly.com/



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Additional material

Some good practice links about plagiarism

https://www.niu.edu/academic-integrity/faculty/committing/examples/index.shtml

https://communitystandards.stanford.edu/policies-and-guidance/what-plagiarism/sample-plagiarism-cases