



JÖNKÖPING UNIVERSITY

Policy for research and research ethics

POLICY

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Policy for research and research ethics

Background

Research at Jönköping University (JU) should follow good research practice, where research quality and credibility are maintained in accordance with the statutes of the Higher Education Act. Research conducted at JU should also be coherent with laws and regulations regarding sustainable development. JU has a responsibility to provide appropriate conditions for following good research practice.

When reporting allegations of misconduct and other violations of good research practice, universities and colleges must take into account the Act on Responsibility for Good Research Practice and the Examination of Research Misconduct (SFS 2019:504¹) as well as the Higher Education Act's regulation that the credibility of science and good research practice must be safeguarded in the enterprise. (Chapter 1, Section 3a of the Higher Education Act²). Good research practices means the moral praxis that develops when various actors in research critically reflect on the research activities in dialogue with their surrounding society (SOU 1999:4³).

Good research practice and good ethical conduct in research should consequently permeate the activities of JU. Proactive work that ensures the quality of research and the ethical awareness of researchers⁴ is of great importance. It is therefore crucial that principles of good research practice are available and discussed regularly. Cases of suspicion of violations or misconduct of good research practice must be dealt with and, if required, swiftly investigated.

Against this background, the JU Policy for Research and Research Ethics is based on fundamental principles for good research practice, research ethics and misconduct in research practices. The Policy for Research and Research Ethics is intended to give researchers at all levels, from doctoral student to professor, support in the principles and protocol that apply at JU.

A. General principles

The principles upon which good research practice rest are described in several documents^{5,6}. This policy describes the principles that JU wishes to highlight.

Academic freedom is established in the Higher Education Act (Higher Education Act 1992:1434)⁷. In 2017, UNESCO⁸ adopted a global recommendation emphasizing the importance of academic freedom and proposing policies and measures that inclusive countries should follow to safeguard and strengthen academic freedom. Freedom to creatively choose a research focus and freedom to conduct research within the framework of JU activities, as well as the freedom to communicate research, are three fundamental issues at the core of JU's stance on academic freedom.

¹ SFS 2019:504. Lag (2019:504) om ansvar för god forskningssed och prövning av oredlighet i forskning. Stockholm: Utbildningsdepartementet.

² SFS 1992:1434. *Högskolelagen*. Stockholm: Utbildningsdepartementet.

³ SOU 1999:4. *God sed i forskningen*. Betänkande från Kommittén om forskningsetik. Utbildningsdepartementet.

⁴ The term researcher in this document refers to all personell who have research as part of their working tasks.

⁵ Vetenskapsrådet (2017) *God forskningssed*. Retrieved from: <https://www.vr.se/analys-och-uppdrag/vi-analyserar-och-utvarderar/alla-publikationer/publikationer/2017-08-29-god-forskningssed.html>

⁶ European Code of Conduct for Research Integrity (2017) ALLEA. Retrieved from: <http://www.allea.org/wp-content/uploads/2017/03/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017-1.pdf>

⁷ Högskolelag 1992:1434. Retrieved from: https://www.riksdagen.se/sv/dokument-lagar/dokument/svensk-forfattningssamling/hogskolelag-19921434_sfs-1992-1434

⁸ UNESCO (2017) Recommendation on science and scientific researchers. Adopted on 13 November 2017 by the General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO)® (2017) UNESCO. Retrieved from: <en.unesco.org/recommendation-on-science>



Reliability in ensuring that quality of research is reflected in the design, methodology, analysis and use of resources in research at JU. Researchers at JU shall review and report on the premises for their studies.

Honesty in the development, undertaking, review, reporting and communication of research in a transparent, fair, full and unbiased way should characterize research at JU. This also includes fairness in assessments of the research of others.

At JU, **respect** is given to colleagues, research participants, society, ecosystems, cultural heritage and the environment.

An important principle at JU is **accountability** for research from idea to the dissemination of results.

At JU, there shall be an **openness** in terms of ties to various actors, colleagues in research, as well as own motives for the research assignment and possible profit. The credibility of the research also depends on openness and transparency in both methodology and results so that other researchers can use and control new research findings.

B. Ethics and morals

The starting point for good research is that it is preceded by a reflection and an analysis of ethical issues. In this lies the importance of consciously formulated research ethics, which in turn guides the moral considerations of the researcher. The ethical analysis must be based on research codes of ethics⁹ and principles of research ethics.

At JU good research practices are formulated in the guidelines document.

Furthermore, all research involving humans must be based on accepted principles of research ethics as formulated in the Declaration of Helsinki¹⁰. For example, research may only be carried out when human dignity can be protected, where the risk of injury is minimized and the right to self-determination and integrity of subjects are taken into account.

It is the responsibility of each researcher to ensure this, while JU is responsible for providing support in issues regarding research ethics.

Ethical review

Provided that the research falls under terms of the Act concerning the Ethical Review of Research Involving Humans (2003:460)¹¹, researchers at JU shall ensure that their research protocol is reviewed by the Ethical Review Authority¹².

Research Ethics Committee

At JU there is a research ethics committee that deals with ethical issues in research that concerns people, animals, and environment. This committee is advisory and informative in nature and deals with ethical issues related to research and development work linked to JU. Read more in the *Regulation for Research Ethics Committee at Jönköping University*.

⁹ Forskningsetiska kodexar: <http://www.codex.vr.se/index.shtml>

¹⁰ World Medical Association Declaration of Helsinki: Ethical Principles for Medical Research Involving Human Subjects” (JAMA 310 (20): sid. 2191–2194, 2013-11-27. doi:10.1001/jama.2013.281053. ISSN 0098-7484. <https://jamanetwork.com/journals/jama/fullarticle/1760318>.

¹¹ Lagen om etikprovning av forskning (2003:460) https://www.riksdagen.se/sv/dokument-lagar/dokument/svensk-forfattningssamling/lag-2003460-om-etikprovning-av-forskning-som_sfs-2003-460

¹² Etikprovning: <https://etikprovning.se/>



C. Violations of good research practice

Questions of misconduct in research are regulated by the Act on Responsibility for Good Research Practice and the Examination of Research Misconduct (2019:504). The law provides that reports of misconduct in research (fabrication, falsification and plagiarism–FFP) must be investigated by an special national board.

Research misconduct

The definition of research misconduct is included in the statutory definition as; a serious departure from good research practice in the form of FFP that is committed intentionally or through gross negligence when planning, conducting or reporting research. The three types of misconduct included in the FFP are defined in this way in the ALLEA Code of Conduct:

Fabrication is making up results and recording them as if they were real.

Falsification is manipulating research materials, equipment or processes or changing, omitting or suppressing data or results without justification.¹³

Plagiarism is using other people's work and ideas without giving proper credit to the original source, thus violating the rights of the original author(s) to their intellectual outputs.¹⁴

Other unacceptable practices

Deviations from good research practice may fall outside the special national board's area of responsibility for four reasons:

(i) they do not fall within the FFP; (ii) they are not considered serious within the meaning of the law; (iii) they have not been committed intentionally or with gross negligence; according to the new Swedish system, such other deviations should be handled by the research heads themselves.

Other violations

Some of the acts or neglect that can be regarded as seriously violated research practice may be regulated in other statutes, they relate in whole or in part to acts that may fall under public prosecution or other regulatory oversight. These include, for example, suspicion that the necessary ethical permits for research on animals or humans have not been obtained, that biobank registration has not taken place, that personal data has been processed in violation of current regulations, that research materials have not been filed to the extent required by applicable regulations, or that permits to export sensitive technologies to some countries are not obtained. In such cases, the matter in this section should be referred to the responsible supervisory authority for further investigation. Violations from good research practice may appear in the Authority's investigation, which may lead to further investigations at the university or the special national board.

Board of Misconduct in Research

At JU, there is a board of misconduct in research. The board handles seriously unacceptable research practice and acts as a preparatory and advisory body to the President. The president decides whether or not to submit a report of research misconduct to the National Board of Misconduct. *Read more in Regulation for management of misconduct in research.*

¹³ In Swedish, the translated term '*förfalskning*' does not fully correspond to the English '*falsification*', as a '*förfalskad*' note is synonymous with a forged or counterfeit note. The intended meaning is closer to '*manipulated*' or '*corrupted*'

¹⁴ The definition given by ALLEA can be misinterpreted as linking plagiarism to copyright; please note that works in the public domain as well as that which cannot be copyrighted (such as an idea) can also be plagiarised.



D. Guidelines to the Policy for Research and Research Practice

In order to promote good research practice, and to apply the principles for research and research ethics at JU, the following practices should be adhered to.

Research environments

Research environments at JU must actively promote an open, safe and inclusive environment that promote a strong culture for research integrity and awareness, knowledge of good research practice, and follow relevant rules and guidelines for research ethics at JU.

Education, supervision and mentoring

JU promotes qualified supervision of doctoral students and junior researchers and ensures that education in research design, methodology and analysis is available.

Knowledge development and reflection regarding research ethics, good research practice and misconduct in research will take place throughout the researcher's entire career path, from doctoral student, to junior researcher, to professor. Research ethics is also a critical component of the doctoral education and in the relationship between the doctoral student and the supervisor.

The researcher and the assignments

Research at JU is linked to education, and researchers are expected to contribute to education at the university. Researchers at JU are also expected to assist in other scholarly activities such as peer reviewing manuscripts for publication, evaluating research applications and participating as a member of scholarly committees, such as examination committees. Researchers at JU may not accept these assignments if there is any possibility of conflict of interest.

The research process

Planning

When planning research, researchers at JU should consider the latest findings in the field, up-to-date technology and infrastructure, and relevant social issues. The researcher should also take into account the link between their proposed research and education at JU.

When planning research, relevant grants and calls should be taken into account, as well as external stakeholders' interests in supporting research at JU. In relevant cases, agreements between researchers and collaborators should be established. This should be done at the planning stage with a view to identifying and resolving issues related to, for example, academic freedom, expectations, perceptions, communication, publication of research data, research integrity, intellectual property rights agreements, confidentiality, liability and liability limitations, etc.

It is the responsibility of the researcher to take into account the health, safety and well-being of interested parties in the planning of the research, as well as to reflect upon, and manage potential damage and risks related to the research. In research involving people, animals and the environment, researchers at JU should always reflect on, and investigate, the need for ethical review (see above) and obtain informed consent when relevant.

Research subjects must be informed of the context in which the research is being conducted, what it means to participate in the study, that participation is voluntary, that they have the right to withdraw their participation, and how data will be managed in accordance with the EU Data Protection Regulation (GDPR¹⁵). Informed consent should contain two parts; 1) consent to participate in the study 2) consent to data being stored in accordance with JU's data storage guidelines (see below).

¹⁵ EU:s dataskyddsförordning (GDPR): <https://www.datainspektionen.se/lagar--regler/dataskyddsförordningen/>



In the planning stage of research projects, a data management plan¹⁶ must be established to meet legal and ethical requirement and detail how research data will be made available and preserved

Implementation

Researchers at JU are professional regarding the choice of research methods, data analysis, assessment and interpretation of results and should ensure that implementation and reporting of results are not influenced by the non-scientific interests or preferences of others.

Research data management (data storage and archiving) must take place in accordance with the EU Data Protection Regulation GDPR and with the legislation on research data. The data management plan must be maintained or revised on a regular basis.

Reporting

Researchers must report methodology, results and interpretations of research in an honest, accurate and transparent manner and, where applicable, in accordance with the standards of the discipline. Results of research must be able to be verified and reproduced.

JU encourages researchers to generate an *Author statement*¹⁷ for every scientific publication. This statement should detail the contributions of all authors to the design of the research, data collection, analysis or interpretation of the results are presented. Authorship order should be discussed early in the process.

Funders and other stakeholders who contribute to the research and publication of research data should be acknowledged when publishing. Where applicable, JU encourages co-production in publications.

JU encourages Open Access publishing to the extent possible.

All publications must be registered in DIVA with clarification if the research is related to sustainability and to which research environment publication belongs.¹⁸

JU encourages researchers to publish a popular scientific text in relation to scientific publication.

¹⁶ <https://snd.gu.se/sv/hantera-data/data-i-forskningsprocessen/datahanteringsplan>

¹⁷ <http://www.codex.vr.se/en/etik2.shtml>

¹⁸ FN:s mål om hållbar utveckling: <https://fn.se/globala-malen-for-hallbar-utveckling/>