



FINNISH NATIONAL BOARD ON  
RESEARCH INTEGRITY TENK



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# Annual report | 2018

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### 1 | COMPOSITION AND MEETINGS OF THE BOARD

The Finnish National Board on Research Integrity TENK is a body of specialists appointed by the Ministry of Education and Culture, which handles ethical issues concerning research. Its task is to promote responsible conduct of research and to prevent research misconduct (Decree on the Advisory Board on Research Integrity, 1347/1991). The ministry appoints the members of TENK for a three-year term based on a proposal from the scientific community.

The term of the current TENK is from 1 February 2016 to 31 January 2019. **Krista Varantola**, Chancellor Emerita of the University of Tampere, serves as Chair, and University Lecturer **Pekka Louhiala** of the University of Helsinki as Vice Chair. There are also eight other members of the Board:

- Principal Economist **Kari Hämäläinen**, VATT Institute for Economic Research
- Senior Researcher **Jyrki Kettunen**, Arcada University of Applied Sciences
- Academy Research Fellow, Vice-Rector **Erika Löfström**, University of Helsinki, Tallinn University
- Professor **Rainer Oesch**, University of Helsinki
- Academy Professor **Riitta Salmelin**, Aalto University
- Programme Manager **Sirpa Thessler**, Natural Resources Institute Finland (Luke)
- Professor **Risto Turunen**, University of Eastern Finland
- Legal Adviser **Meri Vannas**, Academy of Finland



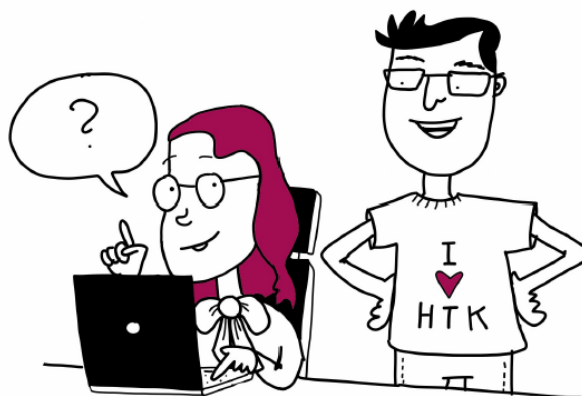
The secretary of TENK is Secretary General, docent **Sanna Kaisa Spoof**.

During the year, TENK convened six times. The December meeting was held during TENK's visit to Joensuu on 10–11 December 2018.

## 2 | PREVENTATIVE ACTION, EVENTS AND EDUCATION

### Responsible conduct of research (RCR)

All the universities and universities of applied sciences in Finland, almost all publicly funded research institutions, the Academy of Finland, Business Finland and the Prime Minister's Office are committed to following TENK's preventative ethical instructions *Responsible conduct of research and procedures for handling allegations of misconduct in Finland*. The number of signatories by the end of 2018 was 81. The trilingual *Responsible Conduct of Research* (RCR) guidelines are available free of charge from TENK's office, and the PDF file can be downloaded from [www.tenk.fi](http://www.tenk.fi). The RCR guidelines apply to approximately 25 000 - 30 000 members of research staff in Finnish universities, universities of applied sciences and research institutions.<sup>1</sup>



TENK produced a short educational video on the investigation of research misconduct in Finland.

TENK continued to develop the RCR process by preparing a template for the reporting of alleged RCR violations. TENK hereby answered to the need expressed by universities and other research organisations as well as the Ministry of Education and Culture to simplify

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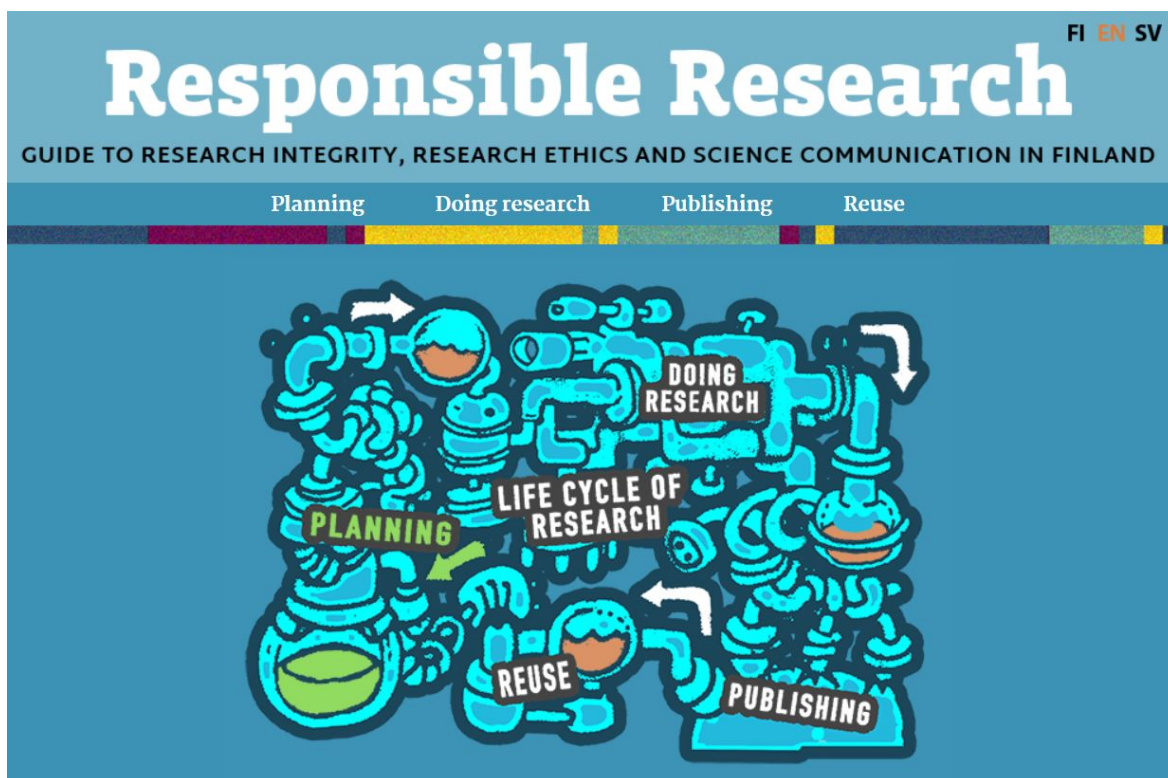
<sup>1</sup> Vipunen - Reporting portal for the education administration, Research and Development: <https://vipunen.fi/en-gb/higher-rd-activity/Pages/Tutkimus--ja-kehitysty%C3%B6.aspx>

the process of reporting scientific misconduct and facilitate the filing of an RCR notification. The working group established to develop the RCR process was chaired by Krista Varantola and the members were Pekka Louhiala, Riitta Salmelin, Meri Vannas and Chancellor's Secretary **Sakari Melander** from the University of Helsinki.

By the end of 2018, the Research Integrity Adviser system launched on TENK's initiative included 64 research organisations and a total of 124 research integrity advisers. The research integrity advisers gave advice especially in cases related to plagiarism and authorship disputes. Training was organised for the research integrity advisers in May and November.

### Responsible Research Project

TENK is executing the Responsible Research project funded by the Ministry of Education and Culture in Finland in cooperation with the Committee for Public Information (TJNK). The project has created the [vastuullinentiede.fi](http://vastuullinentiede.fi) guide to best practices in research integrity and science communication in the Finnish scientific community. The site was launched on the Ethics Day 15 March 2018, and also Swedish and English versions of the site have been launched.



Vastuullinentiede.fi was launched on the Ethics Day 15 March 2018, and also English version of the site, [responsibleresearch.fi](http://responsibleresearch.fi), has been launched.

TENK's recommendation *Agreeing on authorship. Recommendation for research publications* was also finalised in the Responsible Research project. In order to prevent disputes on authorship, the recommendation emphasises that the principles of authorship should be agreed in time and preferably in writing. The workgroup which prepared the recommendation was chaired by Pekka Louhiala. The recommendations were submitted to the Minister of Education and Culture **Sanni Grahn-Laasonen** on 24 January 2018. The recommendations were published in Finnish, Swedish and English.



TENK chair Krista Varantola (left), Minister of Education and Culture Sanni Grahn-Laasonen and TJNK Chair Risto Nieminen on 24 January 2018.

In cooperation with Responsible Research, TENK also produced a short educational video on the investigation of research misconduct in Finland. The video is intended for use by the entire Finnish science community, and it is available in Finnish and English. The video can be viewed at the TENK web site.

The first national research ethics barometer survey was prepared in 2018 in cooperation between TENK, Responsible Research and the University of Vaasa. The survey studies incidents of research misconduct throughout the Finnish research community.

## **Events**

TENK organised several research ethics events in 2018. The annual Ethics Day seminar was organised on 15 March 2018 in the House of Science and Letters in Helsinki. Subjects discussed in the seminar included the new EU data protection regulation and the challenges of responsible conduct of research. TENK organises the Ethics Day in cooperation with national ethics boards.

TENK organised two discussions in October: 29 October 2018 on the ethical pre-evaluation guidelines under review and 30 October 2018 on the development of the process for investigating research misconduct. Both events took place in the House of Science and Letters in Helsinki.

Presentations and videos of the above mentioned seminars are published on the TENK web site (in Finnish).

## **3 | HANDLING OF ALLEGATIONS OF RCR MISCONDUCT**

### **3.1. Allegations of RCR Misconduct Reported to TENK and Verified Violations**

In 2018, 24 new allegations of misconduct in the responsible conduct of research (RCR) and 16 allegations of RCR violations related to Master's theses in universities of applied sciences were reported to TENK by Finnish universities, universities of applied sciences and other research organisations that are committed to the RCR guidelines.

Each allegation was investigated in the organisation where the research or thesis under suspicion was or had been carried out.

According to notifications received by TENK, a total of 27 RCR investigations were finalised at research organisations during 2018, some of which had been started earlier. A violation of responsible conduct of research was found in 11 investigated cases: five cases of misconduct and seven cases of disregard for responsible conduct of research (in one case both misconduct and disregard were found). In addition, seven RCR processes

were finalised in universities of applied sciences. Misconduct was found in all of these cases.

Summaries of the verified cases are given in Section 3.2.

<b>RCR ALLEGATIONS OF MISCONDUCT REPORTED TO TENK AND VERIFIED RCR VIOLATIONS, NO.</b> (numbers of cases concerning theses in universities of applied sciences are shown in parentheses as portions of the total number of cases)		<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
Reports from research organisations to TENK on new RCR allegations of misconduct		40 (16)	21	20	24	23
Finalised RCR processes at research organisations, in which the RCR violation was verified*	<i>Misconduct</i>	12 (7)	1	2	4	5
	<i>Disregard</i>	7 (0)	4	1	3	1
Finalised RCR processes at research organisations, in which the RCR violation was not verified*		15 (0)	17	16	17	15

\*) These figures also include cases reported before the year in question, which were finalised in the year in question.

### **3.2. Verified RCR Violations at Research Organisations**

#### *Case 1: Negligent anonymisation of research subjects showed disregard for responsible conduct of research*

Private person A had noticed an article in the publications series of university of applied sciences X. The subject matter was a sensitive one, and A could be recognised easily in spite of the anonymisation. Two researchers from universities of applied sciences X and Y were in charge of the editing of the publication, but neither of the organisations found it necessary to initiate an RCR process in the matter. University of applied sciences X only started the actual investigation after a statement from TENK. The investigation showed that the editors of the article had shown disregard for responsible conduct of research, which was reflected as negligence in the anonymisation of research subjects. The original publication was recalled from libraries and republished without the sections concerning A.

#### *Case 2: Suspected plagiarism in a professionally oriented licentiate thesis was not considered as misconduct*

Researcher A suspected that B had plagiarised A's dissertation in their professionally oriented licentiate thesis. The university processed the first request for investigation at the faculty level only and found no grounds for any further investigation. One year later, researcher A filed another allegation, based on which the university initiated a preliminary inquiry and, following that, an investigation proper. The investigation committee's final position was that responsible conduct of research had not been observed fully in B's licentiate thesis. The investigation committee did not, however, find any evidence of scientific misconduct; instead, they concluded that the RCR violation was a result of carelessness and clumsy writing. B was reprimanded for the failure to observe responsible conduct of research.

#### *Case 3: University researchers disregarded the RCR by failing to identify the designers of a figure*

Students A and B of university of applied sciences X suspected that university lecturer C and doctoral student D of university Y had stolen a figure included in their research plan in the field of social sciences and published under their own name without reference to



A and B. Based on the preliminary inquiry, university Y concluded that C and D had disregarded the responsible conduct of research by diminishing the share of other researcher by neglecting to mention the authors of the original figure.

*Case 4: Some members of a research group disregarded the RCR by publishing common results under their own name*

Researcher A suspected that materials produced by them in an already-terminated technical research project had been published, without A's consent, in a joint article by researchers B, C and D, who had worked in the same project. The article in question also formed a part of B's article thesis. The university conducted a preliminary inquiry, based on which it concluded that B and C had disregarded the responsible conduct of research by reporting research results in a misleading fashion, neglecting the contribution of other authors and impeding A's work improperly. They were also found guilty of other improper conduct by providing misleading information about the research. D was not found guilty of an RCR violation.

*Case 5: Deficiencies in the referencing practices of a Pro gradu thesis considered an RCR violation*

The university decided to initiate a preliminary inquiry based on suspicions of plagiarism expressed in the media. The suspicion concerned a pro gradu thesis in the field of educational sciences approved 15 years earlier. Based on the preliminary inquiry, the referencing practices applied by M.A. (Education) A were found to be inadequate. According to A's explanation, this was due to carelessness and ignorance. The rector, however, considered that A was guilty of an RCR violation in spite of the lack of intention. As the work in question was a thesis and a restricted part thereof, the violation was not considered as being particularly serious.

*Case 6: Member of a research group guilty of disregard; published the group's results under their own name*

Natural sciences researchers A and B suspected that C, a member of the same research group, had published an article under their own name, copying text and research results

from an unpublished manuscript. Based on the preliminary inquiry, the university concluded that C's article included materials from the unpublished manuscript of the research group to such a degree that all the authors should have been identified as authors of C's article. The preliminary inquiry did not give any indication of more extensive misconduct of any kind, but the university did, however, also conduct an investigation proper. The investigation committee agreed with the results of the preliminary inquiry and concluded that C had acted in breach of the RCR by publishing the article under their own name without mentioning the other persons who had participated in the work.

*Case 7: Plagiarism in a pro gradu thesis more extensive than what was initially suspected*

A private person suspected that the pro gradu thesis of M.A. A that had been approved in a university 15 years earlier included plagiarism. The university had given its ruling in a case concerning the same thesis (cf. Case 5), but as it considered the new suspicion wider in scope than the initial one, it reviewed the case in a new RCR process. It was concluded based on the preliminary inquiry that the list of references of the thesis included sources that were not included in the text, and, on the other hand, a significant proportion of the sources cited were missing in the list of references. It was therefore concluded that A had ignored the responsible conduct of research. In terms of references, the preliminary inquiry found significantly more deficiencies than the preliminary inquiry conducted earlier, and A was found to also have presented results and conclusions of others under their own name. In its ruling, the university concluded that A was guilty of both disregard and misconduct.

*Case 8: Submitting a joint article to the publisher without consent from the other authors was considered disregard for the RCR*

Professor of medicine A suspected that post-doc researcher B had submitted a jointly authored article of the research group to the publisher without consent from the other authors and identified themselves as the corresponding author without the consent of the principal investigator, professor A. B, on the other hand, accused A of delaying the publication of the article. In its ruling, the university concluded that B had violated the RCR by delaying and otherwise inappropriately impeding the work of another researcher.

Because of the seriousness of B's negligence, the university found it to be a case of disregard for the responsible conduct of research.

*Case 9: Publishing the results of a joint article in another article both plagiarism and self-plagiarism*

Three researchers who had published article 1 in the field of social studies noticed that researcher A, who was the fourth author of the article, had also published the same research results in another article. In addition to A, also B and C were identified as authors in article 2. Article 1 or its authors were not mentioned once in article 2. Based on the preliminary inquiry performed by the university, A was found guilty of both plagiarism and so-called self-plagiarism, as the text subject to plagiarism was authored by others and A themselves. Authors B and C of article 2 were not considered as having participated in the RCR violation.

*Case 10: References of another thesis to original sources used in a Pro gradu thesis*

Person A, not a member of the university community, suspected that their thesis had been plagiarised in the pro gradu thesis of M.A. B in the field of humanities and social sciences. A stated their suspicion to the examiner of B's thesis, who decided to file an RCR allegation. In its preliminary inquiry, the university found out that B had included direct excerpts of A's thesis but only referenced the original sources used by A and failed to refer to A's thesis. In its ruling, the university concluded that B was guilty of unauthorised borrowing, which is considered misconduct. The case was, however, not considered gross; it was due to carelessness and only concerned one sub-chapter of the thesis.

*Case 11: Plagiarism found in a Pro gradu thesis*

A university initiated a preliminary inquiry concerning the suspected plagiarism in A's pro gradu thesis. In its ruling, the university concluded that in their pro gradu thesis, A had copied text from the pro gradu theses of Masters B and C, only modifying some of the expressions and wording. A was found guilty of misconduct in research.

Cases 12–18 were all cases of plagiarism found in Master’s theses in universities of applied sciences.

### 3.3. RCR Statements Requested from and Issued by TENK

In 2018, TENK received a total of 16 new requests for a statement concerning allegations of misconduct in the responsible conduct of research. In two of the cases, TENK issued no statement. TENK issued a total of nine RCR statements in 2018.

<b>NO. OF STATEMENTS ISSUED BY TENK</b> (numbers of statements requested and issued concerning theses in universities of applied sciences are shown in parentheses as portions of the total number of statements)	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
New requests for a statement received by TENK that concerned the RCR process	16 (2)	9	9	11	11
Statements issued by TENK that concerned the RCR process; also including different requests for a statement other than those found in the previous section	9 (0)	10	8	8	4
Other specialist statements for TENK than those that concerned the RCR process	2	1	1	-	-

Below are summaries of the RCR statements issued by TENK in 2018:

*Statement 1 (TENK 2018:1) Deficiencies in the management of research projects, but no disregard for the responsible conduct of research*

A, a former doctoral student of the university, requested a statement from TENK in a case in which the university’s investigations had started already in 2014. TENK gave its first statement in the matter in 2016, according to which the university should initiate an

investigation proper in order to clarify the unclear publishing practices of the natural sciences department. The investigation proper conducted did not reveal an RCR violation.

In their new request for statement, A requested TENK's opinion on whether their contribution in the performance of the research on which B had based their M.Sc. thesis had been considered as appropriate the investigation proper. A also continued to question the solutions related to the authorship of articles written in the department's research projects as well as the composition and competence of the investigation committee that had investigated the matter.

In its statement, TENK emphasised the responsibility of research project leaders and concluded that there had been obvious inadequacies in the management. The responsibilities, duties or issues related to authorship in the research group had not been specified or recorded in a manner consistent with responsible conduct of research. Based on the materials submitted to TENK it was not, however, possible to find beyond doubt that the actions related to the tangle of events had resulted from wilful misleading of the scientific community. According to TENK, the actions also did not reflect such a degree of grossness that it would be possible to find beyond doubt that they were a result of disregard for the responsible conduct of research. Based on the materials submitted to TENK, it was also not possible to conclude that any of the investigation committee members would have been incompetent. TENK concluded that the RCR investigation had been conducted in the university as appropriate according to the RCR 2012 guidelines.

*Statement 2 (TENK 2018:2): Suspected falsification of research result turned out to be a difference of opinion*

Docent A had made an allegation to the university's rector, stating that a doctoral dissertation being examined at the department of medicine included both falsified observations and incorrect data offensive to the patient group subject to the study. The patient organisation in the field also contacted the university in the same matter. The rector of the university found it to be a case of a difference of opinion caused by a single sentence and that the RCR guidelines were not applicable in the matter. In addition, the doctoral candidate had made a correction to the ambiguous section in question by means of an erratum in their electronic dissertation. A was dissatisfied with the processing of the matter in the university and with the fact that no preliminary inquiry had been initiated.

TENK converged with the university's assessment, according to which this was not a matter of research ethics that the RCR guidelines are applicable to. In its statement, however, TENK made a comment to the university that the university had, against the RCR guidelines, initially only discussed the matter at the faculty level and that it had not notified TENK of the decision not to initiate an RCR process.

*Statement 3 (TENK 2018:3): Preliminary inquiry should be initiated with regard to a researcher's right to author status*

Researcher A felt that as they were not identified as one of the authors in a collection of works published by university X based on the work of a research group in the field of educational sciences, the other authors of the publication had disregarded the responsible conduct of research. A had resigned from the research group in question before the publication of the work due to a falling out with the group leader. A was dissatisfied with the university not initiating a preliminary inquiry in the matter. According to the university, A had not participated in the editing of the work as the work had been done after their resignation. Furthermore, A was identified in the foreword of the publication.

According to TENK, the RCR allegation filed by A clearly identified an allegation related to research ethics. The allegation was justified and, based on the materials submitted to TENK, it was not clearly unfounded. In addition, the university gave a ruling in the matter without studying it further or consulting the parties involved. TENK therefore concluded that the university should initiate a preliminary inquiry in accordance with the RCR process in the matter. TENK did not take a stand on the alleged RCR violation as it had not been studied in the RCR process yet.

On a general level, TENK mentioned in its statement that conducting a preliminary inquiry is important for the legal protection of the parties and also in terms of how just the reporter of the allegation feels the investigation procedure is.

*Statement 4 (TENK 2018:4): Conducting research on the same area of study does not obligate reference to a specific study*

Researchers A and B in the field of humanities felt that researcher C, active in a different science but investigating the same area, should have referenced A and B's publication in their dissertation. They justified their opinion using a long-standing friendship and staying in the same research premises. A and B felt that C had got the idea for their dissertation from them. Furthermore, they felt that the conclusions of C's dissertation largely consisted of information which had already been published in international research literature.

According to the preliminary inquiry conducted by the university, there was no evidence of plagiarism or stealing.

In their request for statement, A and B did not specify a particular idea or section in C's dissertation that they considered as having been stolen; instead, they claimed that the idea for the dissertation was theirs. According to TENK's opinion, researching the same subject matter area was not a specific research idea as such, as the same matter had been studied internationally for a long time in various fields of science. The generic nature of the subject matter explained the similarities between the publications. Moreover, friendship is not a reason for citation.

With regard to the more comprehensive allegation of stealing, TENK concluded that this was a matter of criticism towards the general quality of the dissertation. TENK found this to be a scientific dispute and therefore did not discuss it. In conclusion, TENK did not find C guilty of the RCR violations in their dissertation alleged by A and B, and the university had investigated the matter in accordance with the RCR guidelines.

*Statement 5 (TENK 2018:5): Inadequate reference in a figure not considered as disregard*

An association in the field of medicine and health sciences suspected that a doctoral dissertation in its field included plagiarism. It was a matter of similarities between a theoretical model and a figure included in the dissertation. The association had notified the doctoral candidate, their supervisor and the faculty in question before public examination of the dissertation. The university investigated the matter at the faculty level mostly from the perspective of copyright. In its first statement concerning the matter,

TENK stated that an RCR process should be initiated for any alleged violations of research ethics if the permission to defend the thesis has already been granted. The university should therefore initiate a new inquiry in accordance with the RCR process in the matter. (TENK 2017:6)

The university decided, in accordance with the investigation committee's report, that the controversial figure in the dissertation was an independent scientific entity in which no references needed to be included. Furthermore, the dissertation presented the relationship of the figure to the theoretical model in question as appropriate. The association was not, however, satisfied with this ruling, and it requested a statement from TENK in the matter.

In its statement, TENK agreed with the university's opinion that this was not a case of RCR violation. TENK did, however, state that referencing the original source would have been desirable also in the figure included in the dissertation's conclusions. The lack of reference did not, however, meet the characteristics of disregard specified in the RCR guidelines, mostly in the form of denigrating the role of other researchers and referring to earlier research results inadequately or inappropriately.

*Statement 6 (TENK 2018:6): Allegations of stealing and plagiarism of research idea unfounded*

Licentiate A in the field of humanities alleged that the supervisor of their dissertation, professor B, had plagiarised A's research plan and stolen research ideas presented by A during supervision conversations. This would have led to B obtaining substantial project funding due to these ideas. A's allegations were based on the public descriptions and reporting on these project decisions. After consulting the parties, the rector of the university decided that the allegation was unfounded as the actual projects were completely different than A's research plan. A was dissatisfied with the fact that no preliminary inquiry had been initiated in the matter.

In its statement, TENK stated that project descriptions as such cannot be considered as adequate proof in serious allegations of research misconduct. A had also not specified the parts in B's scientific production which they considered to contain plagiarism. According to TENK, however, A's allegation was not ungrounded in such a way that there would not have been reason to initiate a preliminary inquiry. As the response submitted to TENK by the university was thorough and comprehensive, initiating the preliminary



inquiry would not have resulted in any substantially new information necessary for the resolution of the matter. The rector of the university was within their rights in accordance with the RCR 2012 guidelines when they decided not to initiate a preliminary inquiry.

*Statement 7 (TENK 2018:7): Investigation proper should be initiated to determine the roles of authors in a publication*

A, who had been working as a research assistant in a project in the field of engineering, noticed after the end of their employment that the leader of the project and B, who had been working as a doctoral student in the project, had published an article which, according to A, was based on the measurements and analysis that they had carried out during their employment relationship. A had not been identified as an author in the list of authors of the article. According to the preliminary inquiry conducted in the university, the responsible conduct of research had not been violated, because in accordance with the practices applicable to projects based on external funding, the rights to all research materials and results are transferred to the university. Furthermore, the university stated that A's contribution the planning of research, the creation of ideas, the practical conduct of research, the analysis of research materials or the publication of research results had not been substantial enough for A to be identified as an author.

In the university's ruling, copyright and the right to be specified as an author of a scientific publication were considered comparable. In its statement, however, TENK declared that the authorship of a scientific publication reaches to every stage of research and is more extensive than copyright. The authors named in the publication agree to take responsibility for the contents and results of the research published. Due to research ethics responsibility, it is therefore not possible to restrict the right to be identified as an author on the basis of an employment relationship, even though the ownership to and the right of use of the materials produced during the employment are transferred to the university.

In this case, being mentioned in the list of authors could also not be denied on the basis of A not participating in the processing of the article in question, as it seemed based on the materials submitted to TENK that they were never given the opportunity to participate. It was TENK's opinion that the university should conduct an investigation proper to determine whether A's contribution in the research in question was substantial enough that they should have been offered the opportunity to participate in the design,

writing, evaluation and final approval of the manuscript as one of the authors of the article.

*Statement 8 (TENK 2018:8): Misleading nature of application documents should be investigated*

Doctor A made the allegation that the application documents of doctor B, who had been elected as professor in the field of arts, included exaggeration of artistic and scientific merits. According to the RCR preliminary inquiry conducted by the university, this was a case of carelessness, not an RCR violation. A was dissatisfied with both the result of the preliminary inquiry and its impartiality. The preliminary inquiry had been conducted by dean C who had made the appointment decision for the position in dispute. In its statement, TENK concluded that C had been disqualified in their duty as the party conducting the preliminary inquiry, thereby invalidating the RCR process conducted. The university should therefore initiate a new inquiry in accordance with the RCR process in the matter. (TENK 2017:7)

Also on the basis of the new RCR process, the university concluded that B had not been guilty of an RCR violation in the presentation of their merits; instead, it was a matter of inaccuracy. A was dissatisfied with both the ruling and the limitations of the RCR process and requested TENK's statement in the matter.

In its statement, TENK stated that applicants are free to accentuate their merits in their application documents, but they may not provide false information. In this case, the university should conduct the investigation proper in accordance with the RCR process, because a violation of the RCR could not be excluded completely based on the preliminary inquiry. The investigation should, however, not focus on the process of filling in the position or the artistic merits of B. It should focus on whether B gave misleading information of their academic work experience or publications in their application documents.

*Statement 9 (TENK 2018:9): The need for ethical review of a project should be determined in an investigation proper*

Docent A felt that interviews conducted in a project in the field of humanities had been carried out in part in a manner that might cause emotional harm to the research subjects.

They had been a researcher in the project themselves. According to A, the interview design and the questionnaire used in the interviews should have been subjected to ethical review. They had discussed the matter with the director in charge of the project in the research planning phase, but the director had refused to subject the research to ethical review. When the university initiated the preliminary inquiry in the matter, professor B had, according to docent A, misled the conductor of the preliminary inquiry by submitting a modified questionnaire to the inquiry.

The preliminary inquiry conducted in the university observed the different questionnaires but determined that there were only minor differences between the two versions, typical for the field in both versions, and that they did not affect the result of the preliminary inquiry. According to the preliminary inquiry, ethical review would also not have been necessary because of the study design.

Based on the materials submitted to TENK, it was, however, still unclear how the research subjects were informed when the interview was conducted, and how the research was conducted. It was possible that the principle of informed consent was not realised in the research and that the study design should have been subjected to ethical review. TENK therefore declared that the university should conduct an investigation proper to determine whether an ethical review should have been performed for the research project before the collection of materials and, if this is found to be the case, whether this is a case of an RCR violation. Also the questionnaire version used in the study should be determined and whether the characteristics of an RCR violation were met in this regard.

## 4 | ETHICAL REVIEW IN HUMAN SCIENCES

TENK coordinates the ethical review of research in the field of human sciences and promotes cooperation between regional and organisation-specific ethical committees that carry out assessments.

TENK completed the reform of guidelines for the ethical review in human sciences in 2018. The reform was prepared by a TENK workgroup chaired by **Arja Kuula-Luumi**, Development Manager of the Finnish Social Science Data Archive. The secretary of the workgroup was TENK's Specialist **Iina Kohonen**. Statements concerning the reformed draft guidelines were requested from all universities, research institutions and other

parties that had signed the guidelines in 2009 as well as other stakeholders. A total of 46 statements were received.

TENK's office is following up the status of ethical review by collecting data on the cases processed by the committees annually and maintaining a list of contact information of the committees. At the end of 2018, a total of 63 organisations were committed to TENK's guidelines Ethical principles of research in the humanities and social and behavioural sciences and proposals for ethical review (IEEA).

The numbers of requests for statement processed by the committees continue to increase. Most statements have been made at the request of the financier/publishers. The number of requests for international projects have increased. The entry into force of the new General Data Protection Regulation (GDPR) of the EU in May has resulted in additional workload to the committees and raised the need to create guidelines on the processing of personal data for researchers.

<b>NO. OF CASES HANDLED BY ETHICAL COMMITTEES IN HUMAN SCIENCES</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>	<b>2014</b>
Requests for statement related to ethical reviews	468	412	392	341	303
Statements given by ethical committees	457	385	324	295	287
Negative statement (no positive statement given or the request for statement returned with demand for amendment)	13	27	24	24	17
No statement (ethical review not considered as necessary or request for statement directed to another committee)	26	35	41	25	28
Number of organisations replying to the follow-up survey	24	30	25	25	20

## 5 | COOPERATION, INITIATIVES, AND PUBLICATION AND PR ACTIVITIES

TENK made a proposal in 2018 that the Council of Finnish Foundations (COFF) would begin to actively promote the responsible conduct of research by agreeing to TENK's RCR guidelines by signing them. At the same time, TENK hoped that COFF would recommend that its members providing research funding would commit to the guidelines. This initiative gave no results.

TENK's members and Secretary General carried out networking and shared information about TENK's activities by giving seminar presentations, publishing articles and giving interviews (see APPENDIX 1-2 of the TENK Annual Report in Finnish).

TENK's members worked actively in both national and local ethical committees and working groups (see APPENDIX 3 of the TENK Annual Report in Finnish).

The [Responsible Research Project and its web site](#) launched in 2018 were an important communications channel to TENK and will be utilised in communications also in the future.

## 6 | INTERNATIONAL ACTIVITIES



General Secretary Sanna Kaisa Spoof was elected as Chairperson of ENRIO for the term 2018 - 2021. Photo: Atelier Nyblin.

The European Network of Research Integrity Offices (ENRIO) elected TENK's General Secretary Sanna Kaisa Spoof as their Chairperson for the term 2018–2021. Spoof is also the leader of ENRIO's whistleblowing workgroup. ENRIO meetings were held in Rome on 9–11 April 2018 and in Stockholm on 4–5 October 2018. The Ministry of Education and Culture also granted a separate subsidy for TENK's ENRIO chairmanship at the end of 2018.

TENK's Chairperson Krista Varantola is a specialist in several international projects and workgroups, including participating in the All European Academies ALLEA's permanent committee on Science and Ethics as the representative of the Finnish Academy of Sciences and Letters.

TENK's Chairperson, Secretary General and Specialist made several meeting and study trips during the year:

- PRINTEGER European Conference on Research Integrity, Bonn 5–7 February 2018
- Responsible Research study trip to London and Oxford (visits to the Finnish Institute in London, COPE, UKRIO), 13–15 June 2018
- Meeting of the National Ethics Councils (NEC) Forum, Vienna 17–18 September 2018
- European Policy Centre (EPC) “Developing an ethical framework for non-medical sciences”, Brussels 13 November 2018
- Royal Netherlands Academy of Arts and Sciences (KNAW) and Whistleblowers Authority Office, Amsterdam 16–18 December 2018

## 7 | PERSONNEL AND FINANCES

In addition to Sanna Kaisa Spoof, Secretary General, Coordinator **Terhi Tarkiainen**, MA, and Office Secretary **Kaisu Reiss**, B.Sc. Econ., worked part-time at TENK’s secretariat.

**Maija Lähteenmäki**, MA, worked as a part-time web editor in the joint Responsible Research project of TENK and TJNK. **Anni Sairio**, PhD, worked as a coordinator in the project from 5 June 2018.

TENK’s secretariat works at the location of The Federation of Finnish Learned Societies (TSV) at Snellmaninkatu 13, Helsinki. TSV offers TENK financial and personnel administration services, network connections, IT services as well as the office premises. The facilities of the House of Science and Letters are in TENK’s use free of charge for meetings and seminars.

This annual report was presented at the meeting of the Finnish National Board on Research Integrity TENK held on 20 March 2019.

Riitta Keiski  
Chairperson

Sanna Kaisa Spoof  
Secretary-General