Deliverable report for

ENERI

Grant Agreement 710184

Deliverable 1.3

Summary of consensus conferences

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1. Description of Task at the GA

The European ENERI project (European Network of Research Ethics and Research Integrity) aims to build a shared platform for advancing knowledge, capacities and practices concerning research ethics and research integrity.

2. Objectives and needs of the deliverable

In work package 1 (WP1: Coordination and management) the Midterm Consensus Conference aims to be a platform of exchange with stakeholders; the aim is to get the community involved that is interested in RI and RE. In work package 6 (WP6: Monitoring and Certification) main objectives are (1) to explore and develop indicators that are widely accepted in the heterogeneous field of research ethics (RE) and research integrity (RI) representing expertise in the two areas to be implemented in the expert data base; (2) to evaluate the experiences gained with the validity and usability of the indicators and to adapt them accordingly; and (3) address the construction, mapping, and monitoring of central expert criteria. An empirical program has been developed. The first step of the program was (a) an extensive literature review and desktop research followed by (b) a quantitative survey interviewing experts. This was followed by (c) a qualitative survey. This was complemented by a series of (d) consensus conferences to involve in the key decisions about the database potential users as well as non-experts to validate our findings.

3. Conclusions

The consensus conferences mainly supported the view of the experts. Potential users and other key stakeholders come to a conclusion (with strong minority opinions in the case of Aarhus regarding Q1 and Q3) that:

- *Q1: A broad, diverse and inclusive approach should be applied to RE/RI expertise;*
- *Q2: Individual profiles should be semi-structured; they are to include predefined key areas/themes of expertise to be filled in with short descriptions + open categories;*

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- *Q3: The database should offer self-registration of experts;*
- *Q4: Members must not go through a training course before being allowed to register in the database, but such cours(es) should be offered as optional;*
- *Q5: Individual profiles should not focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise (majority position only);*
- *Q6: The database should not require personal certification of any type to enter the database.*

4. Deviations from DoA

As opposed to one major Consensus Conference (for which the planned funds were not appropriate) we opted to run a series of consensus conferences in four European cities (Aarhus, Athens, Vienna, Vilnius), assisted by our local ENERI partner institutions, inviting mostly local stakeholders. This gave us the chance to (1) reach out to a wide network of stakeholders; (2) get a good geographic distribution across Europe; (3) acquire comparative information across the different venues and stakeholders. The deviation was approved.

5. Next steps

Based on the results of the empirical program and the consensus conference series the database design will be fine-tuned to fit findings; also once the database will be up and running in pilot phase WP6 will develop and carry out an evaluation and learning program “to evaluate and adapt the validity of indicators and the usability of the registration process”. This will be carried out by an online questionnaire and a series of interviews with experts and stakeholders (Task 6.3).

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1. Summary of the first phase of the empirical program

The ENERI project (European Network of Research Ethics and Research Integrity) aims to build a shared platform for advancing knowledge, capacities and practices concerning research ethics and research integrity. Work package 6 (Monitoring and Certification) addresses the main objective in the project "to create an e-community/database (…) of European and whenever relevant international experts in the different fields of research ethics and integrity", which "should notably ensure the certification of the knowledge level of the experts" The main objectives are (1) to explore and develop indicators that are widely accepted in the heterogeneous field of research ethics and integrity representing expertise in the two areas to be implemented in the expert data base; (2) to evaluate the experiences gained with the validity and usability of the indicators and to adapt them accordingly; and (3) address the construction, mapping, and monitoring of central expert criteria.

An empirical program has been developed by the contributors to WP 6 (Aarhus University and the Institute for Advanced Studies in Vienna) to address the above mentioned issues in a systematic way. The first step of the program was (a) an extensive literature review and desktop research[1] followed by (b) a quantitative survey interviewing experts[2]. This was followed by (c) a qualitative survey[3]. This was complemented by a series of (d) consensus conferences to involve in the key decisions about the database potential users as well as non-experts to validate our findings. This report contains the results of the consensus conferences.

[1] Cf. Robert Braun et al. ENERI Deliverable 6.1.: Summary of empirical programme and preliminary set of indicators for e-database, submitted 30.05.2018. Appendix 1, pp. 15-44.
[2] Cf. Robert Braun et al. ENERI Deliverable 6.1.: Summary of empirical programme and preliminary set of indicators for e-database, submitted 30.05.2018. Appendix 2, pp. 45-73.
[3] Cf. Robert Braun et al. ENERI Deliverable 6.1.: Summary of empirical programme and preliminary set of indicators for e-database, submitted 30.05.2018. Appendix 3, pp. 74-90.

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Based on the series of empirical investigations (a-c) a set of preliminary indicators were developed[4]. The preliminary set of indicators were as follows:

Database as a whole:

- Both interview experts and experts in the quantitative survey find an international database/e-community to be a very useful initiative and name various uses from the potential to 'find experts for guidance on RE/RI policies, guidelines, codes of conduct' etc. and to 'find research ethics experts for European/international networks'.
- There is a broad agreement among experts to adopt an inclusive, diverse and transparent approach to RE/RI expertise.

Database design:

- The database should
    - (pre)define all skills and expertise of the database members (but some level of co-design is accepted);
    - contain short self-descriptions (focusing on evidence based experience) on key areas of expertise rather than tick-off standardized categories.

Database registration:

- It is advised to use a controlled (supervised and managed) approach either by an EU institution controlled registration or nomination of experts by relevant national bodies (as opposed to an open registration process based on self-registration).

[4] Cf. Robert Braun et al. ENERI Deliverable 6.1.: Summary of empirical programme and preliminary set of indicators for e-database, submitted 30.05.2018. pp. 9-11.

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Database indicator(s):
DI1: Inclusivity
DI2: Diversity
DI3: Transparency
DI4: Definition of skills and expertise
DI5: Description of experience

Skills and qualifications:

- Experience in ethics assessment processes (as expressed in number of years; membership in EAUs; etc.) is valued generally by experts over qualification;
- From a qualifications point of view experts are to possess:
    - Theoretical ethics/philosophy (and to a lesser extent 'legal') knowledge to back up their practical experiences;
    - Experience in
        - Scientific/research skills
        - Ethical commitment and awareness
        - Critical thinking
        - Assessment and review
    - Experience in
        - Interpersonal communication/debate

Expertise indicator(s):
EI1: Quantifiable experience in EAUs or assessment processes
EI2: Ethics/Philosophy knowledge
EI3: Specific and relevant experience in scientific research

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EI4: Peer offered experience in critical thinking, ethical commitment

Training:

- Training should be offered on a voluntary basis (especially for those with limited or no EAU experience)
- 'Any accredited ethics/integrity training' (without having defined who would provide such accreditation) should be accepted as opposed to a certified training by an official body.

Training indicator(s):

TI1: Training option (mandatory/volunteer)

TI2: Provider of training

Certification:

- Potential for
  - personal certification for expert database membership
  - personal certification for participation in training course offered

Certification indicator(s):

CI1: Certification of database membership

CI2: Certification of training participation

2. The Consensus conferences

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The preliminary indicators were tested, discussed and fine-tuned in a series of consensus conferences. The consensus conference (CC) design was to follow traditional CC methodology (Einsiedel and Eastlick 2000, Joss 1998, P. Nielsen et al. 2006) to fit purpose. The long, resource intensive consensus conference design – involving meeting and deliberation for several successive weekends – was shortened to a one day session. Stakeholders received information about the subject matter of the CC one week before the CC.

One day consensus conferences have been used to reach expert consensus in medical research (Grudzen et al. 2016). The consensus conference format applied attempts to reach a middle ground between a 'lay persons' and 'expert participation' consensus conference and invited a varied group of people who are not experts in RE/RI but are/may be stakeholders relevant to RE/RI processes. The goal was to reach consensus among invited stakeholders in required qualifications and certifications for EU level RE/RI expert database. The required consensus was limited to questions posed.

2.1. Methodology

The rationale for the consensus conferences were based (a) on the critique of a technocratic treatment of (technology related) policy issues (Tribe 1972, Lakoff 1977, Laird 1993) as well as the growing concern that citizens and non-expert users have a stake (Freeman 1994) in the outcome of RE/RI and may thus have important views and insights to contribute. We have been clear to participants that their opinion(s) would have a real influence over possible outcomes of database design. On the other hand the consensus seeking was limited to the issues discussed and distilled through the empirical research program and the deliberation was not opened to the whole issue of RE/RI or the relevance and appropriateness of the European RE/RI database as such.

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The consensus conferences took part in four European cities (Aarhus, Athens, Vienna and Vilnius) during the month of June, 2018. Local ENERI teams assisted in the preparation (venue, invitations, catering) and stakeholder selection.

Consensus conferences were designed by IHS (Robert Braun & Elisabeth Frankus), were facilitated by Elisabeth Frankus. Robert Braun gave a brief introduction to the consensus conferences and the ENERI project as well as briefly presented the findings of the empirical programme. Robert Braun also acted as expert in both being an 'expert' in the research done so far (thus representing the information and opinion of 'experts' harvested) and as an academic (having had formal education/PhD in philosophy and research/teaching experience in philosophy/ethics) as well as an 'expert' on RE/RI in more general terms.

12-15 stakeholders in each venue were selected from the following potential future database "user" groups:

- People with RE/RI committee experience
- University management
- Funding agency
- Researchers
- Students
- Industry people
- Science journalist
- Lawyer/legal expert
- Government/local/national

Altogether 50 stakeholders participated in the four cities. The distribution of stakeholders in the four consensus conferences were as follows:

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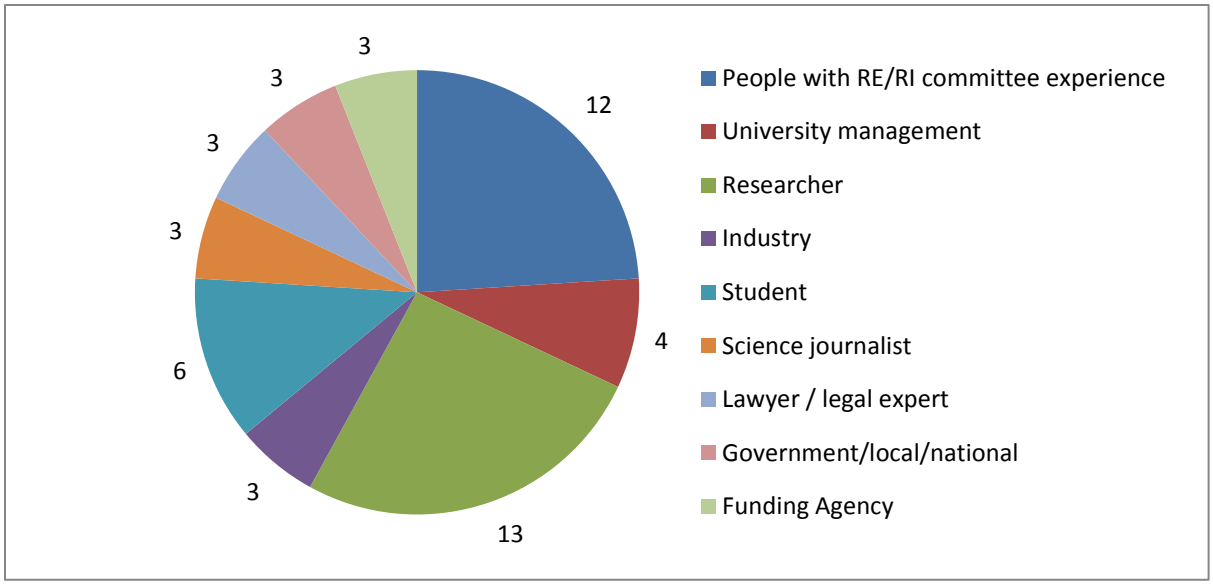

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In accordance with Laird (1993) ”substantial education” was involved about the project, RE/RI and controversies as well as the preliminary findings. Participants received in advance a report on the findings of the empirical program – literature review; expert interviews; stakeholder workshop input; expert survey (approx. 15 pages) as well they were presented with a power point presentation summarizing key findings and process at the beginning of each CC.

All participants signed an informed consent sheet. (cf. Appendix III. 7.5.)

In each of the consensus conferences six questions were posed focusing on:

- on structure and particular design of individual expert profiles;
- on format of registration of experts;
- on formal and relevant education, RE/RI experience;
- on optional training course;

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- on personal certification.

In each of the consensus conferences these questions were asked from the participants:

- *Should a broad, diverse and inclusive or a predetermined, limited approach (defined by an authoritative entity, including the ENERI project) to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)*[5]

- *Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas/themes of expertise to be filled in with short descriptions + open categories?*

- *Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?*

- *Should members go through a training course before being allowed to register in the database?*

- *Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?*[6]

- *Should the database require personal certification of any type or such certification is not required?*

[5] The question was altered for more clarity and better reflection on originally intended content (After 2nd event).
[6] Question was altered for more clarity and better reflection on originally intended content (after 1st event).

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Each consensus conference followed a similar format. After the introduction (event, project, purpose, main findings to date) participants received the list of questions with a brief explanation of their relevance in the project as well as potential answers/points of decisions and the position of experts (as surveyed in the interviews and quantitative analysis). After some time for reading through, participants discussed the questions in pairs and in a plenary format to arrive at a shared understanding. The expert (Robert Braun) had been available to clarify questions and also inform participants about the opinion of experts regarding the questions. Before deliberation the purpose and aim of the expert database was presented and discussed by participants.

After arriving at a shared understanding of the questions participants selected a 'Chairperson' to moderate the World Café as well as the consensus making from within the group. Chairpersons were also asked to moderate the plenary when consensus was not reached. Chairpersons also took part in the debate to avoid creating a hierarchy. In all CCs Chairpersons applied on a voluntary basis and were accepted by the participants. For the role and function of the Chairperson see Appendix 6.

This was followed by a World Café discussion (Brown and Isaacs 2005) on three tables and in two sessions (3 questions in each of the two rounds) with one participant acting as rapporteur for each table. Thus all participants (with the exception of the rapporteurs in each session) had the chance to discuss all questions. After the deliberation rapporteurs presented the consensus (if arrived at) or presented diverging opinions and arguments. After table presentations non-consensus questions were discussed and final consensus was achieved in a plenary session. During all phases of deliberation the expert (Robert Braun) was available for clarification; supporting expert opinion in matters related to the question discussed or clarifying the opinion of experts). A reflection round closed the consensus conference in which participants could express their opinions regarding the process, the method and the results achieved.

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At all stages – introduction, question clarification, World Café and reflections – participants could express their opinions freely and reflect on anything they found appropriate. However, during the sessions attention was called to the fact that the aim of the CC is to arrive at a consensus in the questions posed to complement the empirical program of the project.

After the session, based on a detailed photo protocol and specific notes taken, a consensus sheet and an 'impact or consensus statement' (Beighton 2017) was created that summarized the questions, remarks, issues discussed and the consensual answers arrived at as well as the consensus in a narrative format, respectively (see appendix X). These sheets, together with a reflection form, were sent out for final approval/remark/comments to participants. Participants were instructed to comment only if they found that certain answers/consensus were misinterpreted or mistakenly reported. No further personal comment or opinion was expected from the participants.

2.2. Consensus

The following table summarizes the consensus arrived in the series of consensus conferences.

	Vienna	**Athens**	**Aarhus**	**Vilnius**	**Consensus**
Question 1: Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisationa	C: Open approach to be applied, with a strong element of normative limiting standards provided by an authoritative source	C: Open approach to be applied, with a clear definition of who and how can amend the database structure and definition of 'minimal standards'	B: Normative Approach [Set criteria to be applied]	A: Open Approach [Broad, diverse, inclusive]	**Open approach to be applied** **[Minority position/ Aarhus:** Normative Approach**]**

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l levels etc.)					
Question 2: Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas of expertise to be filled in with short descriptions + open categories?	B: Semi structured, self descriptive + open categories	B: Semi structured, self descriptive + open categories	B: Semi structured, self descriptive + open categories	B: Semi structured, self descriptive + open categories	**Semi structured, self descriptive + open categories**
Question 3: Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?	A: Self-registration of experts	A: Self-registration of experts	C: Managed by relevant EU team with national [non] governmental bodies nominating	D: Self-registration of experts combined with technical human verification of data for appropriateness	Self-registration of experts **[Minority position/ Aarhus:** Managed by relevant EU team with national [non] governmental bodies

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Question 4: Should members go through a training course before being allowed to register in the database?	B: Training course should be offered but made optional	B: Training course should be offered but made optional	B: Training course should be offered but made optional	B: Training course should be offered but made optional	**Training course should be offered but made optional**

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Question 5: Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?	A: Expertise should be quantified where applicable in specific field	B: Expertise should NOT be quantified	C: individual profiles should contain quantifiable and quality measures as well	B: Expertise should NOT be quantified	**Majority: Expertise should NOT be quantified** **Minority: quantifiable and quality measures as well**
Question 6: Should the database require personal certification of any type or such certification is not required?	B: Personal certification is NOT required to enter the database	B: Personal certification is NOT required to enter the database	B: Personal certification is NOT required to enter the database	B: Personal certification is NOT required to enter the database	**Personal certification is NOT required to enter the database**

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The consensus conferences mainly supported the view of the experts. Potential users and other key stakeholders come to a conclusion (with strong minority opinions in the case of Aarhus regarding Q1 and Q3) that:

- *Q1: A broad, diverse and inclusive approach should be applied to RE/RI expertise;*
- *Q2: Individual profiles should be semi-structured; they are to include predefined key areas/themes of expertise to be filled in with short descriptions + open categories;*
- *Q3: The database should offer self-registration of experts;*
- *Q4: Members must not go through a training course before being allowed to register in the database, but such cours(es) should be offered as optional;*
- *Q5: Individual profiles should not focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise (majority position only);*
- *Q6: The database should not require personal certification of any type to enter the database.*

In a few cases there was a strong divergence from the majority position [Q1; Q3: Aarhus] and in case of Q5 opinions were diverging and no consensus among the four locations can be established. In all consensus meetings strong and useful remarks were added to the main consensus that may be used well when designing the database.

Based on the CCs potential users and other key stakeholders suggest a broad, diverse and inclusive approach to database membership. As for database structure participants suggest a semi-structured approach comprising of predefined key areas of expertise to be filled in with short descriptions, complemented with open categories to add specific skills and experience. Participants of the CCs opted for self-registration of experts (with some potential minimum experience requirements). They also suggest that the platform should offer optional training course(s) in ethics as well as other skills. Participants suggest that experience should not be quantified eg. by the number of years, cases dealt with etc, however a strong minority opinion

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emerged that some quality measures should also be applied to inform users about the specifics of the experience that has been quantified. It emerged that personal certification should not be applied as an entry criteria.

2.3. Remarks

Besides the consensus achieved in the four CCs, several additional remarks were noted in the different events.

Definition of expertise: Some stakeholders suggest that further to our research expertise should be defined and set by a select committee and finalized with stakeholders, possibly in a consensus conference.

Diversity: Stakeholders expressed the need for a diversity sensitive approach in database membership, being vigilant to issues of gender, field of expertise, age etc. Participants also noted that national, cultural differences and appropriate representation of all EU countries in the database are to be taken into account. Stakeholders also expressed that 'lay experts' [people with willingness to contribute to ethics assessment but no field-specific experience] and 'NGO/CSO representatives' should also be included into the database.

Participants expressed the need for 'code of conduct' or some 'ethical principles'/'procedural requirements' to be followed by all 'experts' that would define database use and noted that extensive use of online training tools is of essence.

Participants suggest a 'collective expertise' element to be added to the database offering users a way to select full EAUs with an element of guarantee that this set of experts will provide a diverse collective set of expertise as opposed to individual expertise.

Stakeholders also suggest that regular updates in input data should be requested by database members; and a global board of experts should report on input data quality and usefulness to supervise consistency and excellence.

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2.4. Caveats

Participants in one consensus conference expressed criticism over the unified European database design as a way to offer ethics expertise in research ethics and research integrity. In this consensus conference participants also found the design of the database, as originating from and by expert members of EUREC and ENRIO as restrictive and top-down. They also found that the consensus conference restricted to the questions posed limited their ability to express their opinion about the subject matter in full.

One participant in another consensus conference expressed a view whether asking specific questions based on expert input about database setup is appropriate without allowing participants to question the legitimacy of the project of creating a community of research ethics and integrity as a whole.

3. Self-reflection

After all CCs we have asked participants to fill in a questionnaire of reflection (see 9.3.) and the organizers have also filled in observation protocols to evaluate the method and the process.

- **Participants:** recruitment of participants was difficult in all 4 cities. Possible reasons: timing – June is a very busy month (shortly before summer break); the concept, process and rationale of CC was not communicated and explained well enough in the invitation letter – hence participants did not understand their role in the CC. It was also unclear whether (a) as potential 'users' participants needed to be 'experts' or have some advanced knowledge of RE/RI; (b) participants were 'private individuals' or did represent

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some institutional position (university, student body etc.); (c) participated on a voluntary basis or were 'sent' by an institution that received the invitation.

- **Role of 'expert' moderator** (Robert Braun): It was not communicated clearly that the role of the 'expert moderator' was to (a) represent the 'experts' as evidenced in the previous empirical research; (b) to assist in clarifying issues for a non RE/RI expert participant group, therefore in some CCs participants took the moderator's view/argumentation as personal (biased) opinion and emotions as well as resistance appeared.
- **Cultural differences:** Local/cultural differences were not appropriately taken into consideration and addressed as part of the methodology: regarding participants (selection, type of involvement, depth of involvement, understanding of their influence, discussion format/way how to express ones opinion, punctuality, body language, national incentive schemes – how do participants benefit from the CC? some kind of compensation? €€ etc.), venue (facilities, accessibility, organization, responsibilities, etc.)
- **Participant feedback:** Sending participants results and ask for their feedback did not work well. Potential reasons: time of the year (Summer); additional unpaid work expected; no clear incentives to offer feedback.
- **Deliberation process:** We underestimated how exhausting the deliberation process is for participants, therefore in some of the CCs 'deliberation fatigue' was witnessed. As for the format and method, four instead of six questions to deliberate would probably be more appropriate.

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4. Database design and preliminary set of database indicators

4.1. Overview and technical translation

Database as a whole:

- There is a broad agreement to adopt an inclusive, diverse and transparent approach to RE/RI expertise.
    - *Technical translation:* the database should NOT only contain names but also clear categories of the types of expertise and experience the specific expert can offer. Database may contain a list of names with some guidence to users as to the specifics of the expertise (RE/RI/General Ethics/RRI etc. in form of a pictogram or acronym)

Database design:

- Database should
    - (pre)define skills and expertise of the database members (but some level of co-design is accepted);
        - *Technical translation:* Database should contain predefined categories:
            - Formal education in philosophy, ethics or law
                - Tercial education (institution, level of degree, title – eg. Oxford University, MA, Philosophy and Ethics)
                - Other formal education (institution, qualification, level) – eg. Training Company, Traning in ethics, Advanced level)
    - Contain short self-descriptions (focusing on evidence based experience) on key areas of expertise.
        - *Technical translation*
            - Tickbox categories [Y/N] with brief self description (max. 50 word ea.)
                - Ethical competences (description to focus on experience)
                - Integrity competences (description to focus on experience)
                - Research/science experience (description to focus on experience)

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- Legal competences (description to focus on experience in EAUs)
- Ethics assessment/review experience (description to focus on experience)
- Integrity assessment/review experience (description to focus on experience)

- Contain specific categories for ethics experience
  - *Technical translation:* Main category+boxes, like 'work experience' on LinkedIn
    - RE experience
      - Institution (eg: University of Vilnius, EAU)
      - Task: (eg. Ethics evaluation of proposal)
      - Date
      - Reference person
    - RI experience
      - Institution (eg: University of Vilnius, EAU)
      - Task: (eg. Ethics evaluation of proposal)
      - Date
      - Reference person
    - Other ethics experience
      - Institution (eg: University of Vilnius, EAU)
      - Task: (eg. Ethics evaluation of proposal)
      - Date
      - Reference person

- Contain open categories

  - *Technical translation:* a general open category to be filled in as relevant experience to be provided on top of the above; open textual category, max. 250 words and documents for upload if needed
    - Specific & relevant experience in addition to the above mentioned
    - Documents for upload

- Contain options for peer-review & peer-rating (with transparent identification of peers)
  - *Technical translation:* Peer categories (similar to LinkedIn or star rating or other quantifiable format)

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- Peer endorsement of specific skills
- Peer recommendation
- Peer evaluation of specific experience (eg. shared EAU experience)

Database registration:

- It is advised to use an open registration process based on self-registration with some technical oversight, code of conduct and regular (annual or biannual) self-overview.
    - *Technical translation:* Database should provide for self-registration
        - For experts:
            - all categories to be filled in
            - alert to update data on a regular basis (annually or biannually)
        - For users:
            - Information to be provided if data is up-to-date
            - Information to be provided if all categories are filled in
        - For database managers:
            - Data should be verified that self description is filled in with proper information [not truth content but appropriateness]
            - Regular checks of data up-to-dateness (eg. If data is not up-dated regularly expert to drop out of database)

4.2. Preliminary indicators

Database indicator(s):
DI1: Inclusivity

✓ Experts should be inclusive of all types and experiences in RE/RI and related fields

DI2: Diversity

✓ Experts should be diverse (specific attention to be paid to gender and geographical distribution)

DI3: Transparency

✓ Data should be proper and up-to-date ✓ Data should be mostly predefined ✓ Open categories should be self-explanatory

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- ✓ Documents should be up-loadable

DI4: Definition of skills and expertise

- ✓ Skills should be tick-boxed and briefly explained

DI5: Description of experience

- ✓ Experience should be non-quantified (eg. no number of years or number of cases options; but short quality descriptions if appropriate)
- ✓ Peer endorsement; evaluation; reflection options provided (star rating; one word rating etc.)

Expertise indicator(s):

EI1: Experience in EAUs or assessment processes

- ✓ Types of experience:
  - Assessment
  - Evaluation
  - Proposal writing (ethics)
  - Expert opinion
  - Teaching and training provision
  - Specific experience in field:
    - RE
    - RI
  - Specific experience in ethical field
    - Medical
    - Digital/ICT
    - Gender
    - Other

EI2: Ethics/Philosophy knowledge

- ✓ Formal tercial education in philosophy, ethics or law
- ✓ Formal non-academic training in philosophy, ethics or law
- ✓ In case of legal training: specific field eg. Data management, Human subjects etc.

EI3: Specific and relevant experience in scientific research

- ✓ Quantified research experience

EI4: Peer offered experience in critical thinking, ethical commitment

- ✓ Peer categories:
  - Shared experience (eg. membership in EAU)

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- Peer endorsement of soft skills (predefined categories such as):
  - Communication
  - Deliberative
  - Conflict resolution
  - Collaborative
  - Administrative
  - Emotional intelligence

Training:

- Training should be offered on a voluntary basis.

Training indicator(s):

TI1: Training option (mandatory/volunteer)

- ✓ *Trainings offered (pointers)*
- ✓ *Trainings suggested (links)*

Certification:

Certification indicator(s):

CI1: Certification of database membership

- ✓ No certification as entry criteria

CI2: Certification of training participation

- ✓ No certification of (training or database) participation

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6. Appendix I. (Impact Statements)

6.1. Impact statement Aarhus

Participants in this consensus conference expressed criticism over the unified European database design as a way to offer ethics expertise in research ethics and research integrity. In this consensus conference participants also found the design of the database, as originating from and by expert members of EUREC and ENRIO as restrictive and top-down.

As for the preliminary indicators, participants of this conference suggest:

- A normative approach to database design and structure, to be design by an authoritative body and verified by a consensus conference of stakeholders;
- the use of a semi structured, self-descriptive approach to information with tick boxes and open categories;
- that registration of experts should be preceded by a nomination of a national non-governmental body and managed by an EU institution;
- that an optional training course should be offered, focusing on reflection;
- expertise should be quantified, but also quality information should be included;
- that personal certification of expertise acquired before from an authoritative source is not required to enter the database, nor should the database membership constitute an certification of ethics expertise.

Participants in this consensus conference suggest that expertise should be predefined and set by a select committee and finalized with stakeholders, possibly by a consensus conference; predefined expert criteria should be assessed and revised by stakeholders on a regular basis.

Participants expressed the need for a diversity sensitive approach in database membership, being vigilant to issues of gender, field of expertise, age etc.

Participants noted that national, cultural differences are to be taken into account and represented by the national institution nominating experts.

Participants also expressed that ‘lay experts’ [people with willingness to contribute to ethics assessment but no field-specific experience] and ‘NGO/CSO representatives’ should also be included into the database.

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6.2. Impact statement Athens

Participants in this consensus conference recognized the importance of research ethics (RE) and research integrity (RI) as an emerging field. Participants emphasized the need for a European database of RE/RI experts that is driven by trustworthiness, openness and interdisciplinarity. In this consensus conference participants acknowledged that the database is not a professional society, therefore expertise is to be understood broadly.

As for the preliminary indicators, participants of this conference suggest:

- an open approach of membership entry to be applied, with a clear definition of who and how can amend the database structure and definition of 'minimal standards';
- the use of a semi structured, self-descriptive approach to information with tick boxes and open categories;
- that experts should be self-registered;
- that an optional training course should be offered by the manager of the database (EU body);
- expertise should not be quantified, however minimum quantifiable entry requirements should be set (eg. minimum years of experience with ethics assessment);
- that personal certification of expertise acquired before from an authoritative source is not required to enter the database, nor should the database membership constitute an certification of ethics expertise.

While participants in this consensus conference suggest an open approach to registration, data input and data structure, they also suggest that safeguards against misuse should be in place. They also suggest that regular updates in input data should be requested by database members; and a global board of experts should report on input data quality and usefulness to supervise consistency and excellence.

Participants acknowledge that designing a 'standard course' in RE/RI is not feasible. They also suggest that potential members sign a 'code of conduct' or 'procedural requirements' to be followed by all members. They also suggest that after certain years of experience in one field of RE/RI cross-fertilization training is advised (and to be offered).

Participants noted that while personal certification is not required a detailed CV and a personal introduction are to be required.

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6.3. Impact statement Vienna

Participants in this consensus conference recognized the importance of expertise in research ethics (RE) and research integrity (RI) as well as the need for a European database of RE/RI experts to be invited to participate in Ethics Assessment Units (EAUs) as well as other ethics endeavors (ethics assessments, training, education, advisory etc.). In this consensus conference participants emphasized the need to include non-academics, practitioners and others with ethics experience to such a database.

As for the preliminary indicators, participants of this conference suggest:

- an open approach of membership entry to be applied, with a strong element of normative limiting standards provided by an authoritative source (e.g. an EU body);
- the use of a semi structured, self-descriptive approach to information with tick boxes and open categories;
- that experts should be self-registered;
- that an optional training course should be offered by the manager of the database (EU body);
- expertise should be quantified where applicable in specific field (e.g. years of experience, numbers of cases involved, etc.);
- that personal certification of expertise acquired before from an authoritative source is not required to enter the database.

While participants in this consensus conference suggest an open approach to registration, data input and data structure, they also propose that the database should be managed (but management should not mean gatekeeping) and quality controlled by a relevant European body.

Participants acknowledge that designing a 'standard course' is problematic, they also would like to see some unity in the awareness (if not knowledge) of the members of the database, with the mandatory signing/acceptance of a 'code of conduct' or some 'ethical principles'/'procedural requirements' to be followed by all 'experts'.

Participants noted that quantified experience may provide both bias towards more experienced/older experts as well as creating a 'culture of expertise' that favors 'numbers' as opposed to quality/depth of experience; participants suggested to create categories of potential use where high numbers in years or in cases may be less relevant.

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Participants suggest a 'collective expertise' element to be added to the database offering users a way to select full EAUs with an element of guarantee that this set of experts will provide a diverse collective set of expertise as opposed to individual expertise.

6.4. Impact statement Vilnius

Participants in this consensus conference found the concept of the database useful and to be widely used. They also voiced concerns about good geographical distribution of among EU countries.

As for the preliminary indicators, participants of this conference suggest:

- an open approach of membership entry to be applied;
- the use of a semi structured, self-descriptive approach to information with tick boxes and open categories;
- that experts should be self-registered, combined with a human technical verification of data;
- optional training courses (offline and online) should be offered by the database, coupled with mandatory signing of code of conduct and technical training of database use;
- expertise should not be quantified;
- personal certification of expertise acquired before from an authoritative source is not required to enter the database, nor should the database membership constitute an certification of ethics expertise.

Participants in this consensus conference suggest that special attention is to be paid to national differences and appropriate representation of all EU countries in the database.

Participants expressed the need for 'code of conduct' that would define database use.

Participants noted that extensive use of online training tools is of essence.

One participant in this conference expressed a view whether asking specific questions based on expert input about database setup is appropriate without allowing participants to question the legitimacy of the project of creating a community of research ethics and integrity as a whole.

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7. Appendix II. (Consensus Sheets)

7.1. Consensus sheet Aarhus

Question 1	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)	**B: Normative Approach [Set criteria to be applied]**		Objective and use of database Sorting mechanism in the database required	Expertise should be predefined and set by a select committee and finalized with stakeholders (possibly: consensus conference)	Every few years (tbd) expert criteria should be assessed and revised. Regular updates created by stakeholders in a stakeholder consensus conference.

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Question 2	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas/themes of expertise to be filled in with short descriptions + open categories?	**B: Semi structured, self descriptive + open categories**		Database use Search requirements Types of tasks experts should have Inclusivity and diversity	Tickboxes are not sufficient Structure and search createria	Take into account national and cultural differences What type of work shall specific experts participate in Inclusive and diversity sensitive selection and recruitment

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Question 3	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?	**C: Managed by relevant EU team with national [non] governmental bodies nominating**		Initial self registration possible but nomination process applied Authority created by institutional support Diversity policies to be applyed Category established for laypersons (as experts) NGOs also to be included	Instead of national government a non governmental institutiuon should manage the process in each country	Experts should apply to national institution Database to be also managed locally Diversity should be managed also locally NGOs and other stakeholders also to be included

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Question 4	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should members go through a training course before being allowed to register in the database?	**B: A training course should be offered but made optional**		Training course for reflection Diffulty of creating a standardized course	Difficult to create a standardized course for all experts A compulsory course would limit participation	Instead of course a regular conference of experts to be created for learning and sharing Reflection course to be offered

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Question 5	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?[7]	**C: individual profiles should contain quantifiable and quality measures as well**		Expertise is based both on quantity (years, no of cases etc.) and quality measures	Formal education, quality of experience also to be added Numbers can't stand alone	

[7] Question was altered for more clarity and better reflection on originally intended content.

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Question 6	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database require personal certification of any type or such certification is not required?	**B: Personal certification is NOT required to enter the database**		Some form of quality control required	Certification paper does not make a difference	Institutional legitimacy (see: Q1 should offer guarantees.

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7.2. Consensus sheet Athens

Question 1	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)	**C: Open approach to be applied, with a clear definition of who and how can amend the database structure and definition of 'minimal standards'**		Ethics is unstructured so normativity can only be limited Set up a body from members of the community to oversee database development Flexibility of criteria	Main aim is to reach 'uniformity' Expertise should be broadly defined	Build trust Code of conduct to be set up for creating trustworthiness

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Question 2	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas/themes of expertise to be filled in with short descriptions + open categories?	**B: Semi structured, self descriptive + open categories**		As RE/RI is interdisciplinary open fields are required Keywords: trustworthiness, openness, misuse, interdisciplinarity	Openness allows for the emergence of new areas in RE/RI Avoid exlusion	Avoid misuse by people who are not experts but through entering the database may seem like one

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Question 3	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?	**A: Self-registration of experts**		Multidisciplinarity in RE/RI Inclusivity and fuzzyness Reduction of ambiguity	The territory is broad multi-disciplinary and inclusive	Emphasis on levels of ethical decision making Pay attention to different forms and levels of self registration Regular updates to be required Global board of experts (from database) should do regular check-ups (not as entry criteria but as quality control)

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Question 4	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should members go through a training course before being allowed to register in the database?	**B: A training course should be offered but made optional**		Different courses to be offered Feasibility of 'general course' Lifelong learning principle	Unifyed common training is impossible to create (field heterogenety Contradictory to force an 'expert' pass a basic course	A database is not a professional society so expertise is understood more broadly Cross-fertilizing trainings to be offered between areas and disciplines within RE/RI

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Question 5	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?[8]	**B: Expertise should NOT be quantified**		Freshness of perspective required Avoiding 'numbers bias'	Other profile details (open, descriptive) should describe experience levels	Minimal (entry) requirements of expertise to be set (eg. 3 years minimum)

[8] Question was altered for more clarity and better reflection on originally intended content.

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Question 6	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database require personal certification of any type or such certification is not required?	**B: Personal certification is NOT required to enter the database**		Detailed CV requirement Potential misuse (especially output certification) Difference in input and output certification	Creating unneccessary bureocracy Would create credibility ambiguity (who certifies and why) Would exclude valuable knowledge	Letter of motivation/ expression of interest in becoming a member CV as requirement

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7.3. Consensus sheet Vienna

Question 1	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)	**C: Open approach to be applied, with a strong element of normative limiting standards provided by an authoritative source**		Exclusion criteria User responsibility Self selection	Open in terms of topics, concepts of knowledge, decision making processes Open to non academics But some set of normative criteria who can be counted as 'expert'	Database should also contain information on personal motivation Red flags for conflicts of interest

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Question 2	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas/themes of expertise to be filled in with short descriptions + open categories?	**B: Semi structured, self descriptive + open categories**		Power offered to members not a certification authority Members can create their 'classification models'	Better captures real competences Builds on more lasting qualities Members can update an amend tickboxes/info	

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Question 3	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?	**A: Self-registration of experts**	Some level of management by a relevant EU body (and not national)	EU management not act as gatekeeper User feedback very important	Build on trust and peer input	'Management' should not mean setting standardized entry requirements, but some level of ongoing 'quality management' guaranteeing the credibility and seriousness of the database and the data uploaded.

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Question 4	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should members go through a training course before being allowed to register in the database?	**B: A training course should be offered but made optional**		Who would bare the costs? Trainings are of several types Trainings should focus on case studies and not only traditional knowldge transfer	Training is required for shared understanding but as gatekeeping against entry Opportunity to offer diverse trainings not only one authoritative	While stakeholders agreed with experts that designing a 'standard course' is problematic, they also would like to see some unity in the awareness (if not knowledge) of the members of the database, with the mandatory signing/acceptance of a 'code of conduct' or some 'ethical principles'/'procedural requirements' to be followed by all 'experts'

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Question 5	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?[9]	**A: Expertise should be quantified where applicable in specific field**		Care should be taken against high age/experience bias Quick look and assessment possibility (based on quantifyers) Better comparability of expertise Concern: who would call members with fewer years?		While stakeholders were in consensus of the need for quantification of experience they also agreed with experts that quantifyed experience may provide both bias towards more experienced/older experts as well as creating a 'culture of expertise' that favors 'numbers' as opposed to quality/depth of experience; stakeholders suggested to create categories of potential use (eg. Lecturing in or advising on RE/RI) where high numbers in years or in cases may be less relevant.

[9] Question was altered for more clarity and better reflection on originally intended content.

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Question 6	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database require personal certification of any type or such certification is not required?	**B: Personal certification is NOT required to enter the database**	Some stakeholders also shared views (as strong minority opinion) that personal certification may assist in offering more credibility to the database (however not set as an entry requirement)	Specific certifications may not be obligatory but be included as assets Need to develop business model for certification	No gatekeeper function	”there needs to be something of a certification” ”third party confirmation of info may be needed (eg. peer process)

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Question +	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should a ”collective expertise” element be added to the database offering users a way to select full EAUs with an element of guarantee that this set of experts provide a diverse collective set of expertise as opposed to individual expertise?	**A: Collective expertise should be an option**				While this issue was raised (and organizers found it interesting, especially in light of SATORI EAU findings) the question was not further debated.

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7.4. Consensus sheet Vilnius

Question 1	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)	**A: Open Approach [Broad, diverse, inclusive]**		Ethics as unique experience Multidisciplinary teams and knowledge required National differences to be attended to	Key expert criteria should be as broad as possible Criteria should be evaluated regularly	-

The project leading to this application has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 710184.

Question 2	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Individual profiles should be highly structured and include a large number of 'tick-off' standardised categories or should be semi-structured; include predefined key areas/themes of expertise to be filled in with short descriptions + open categories?	**B: Semi structured, self descriptive + open categories**		User friendly database Expertise to cover different needs	Less exclusive approach required Self descriptive and open categories to include uploadable documents/research output etc.	Open questions should be sensitive to private data Database design should be attentive how categories affect/impact user choices Open categories should be optional

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Question 3	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database offer self-registration or members should be managed and monitored by a relevant EU management team and/or be nominated by relevant national governmental and institutional bodies?	**D: Self-registration of experts combined with technical human verification of data for appropriateness**		Data protection issues Sensitive data checks Language requirements and levels	Input data should be verifyed by a human agent (from a technical approproiateness point of view) to maintain credibility of the database	Country specific issues need to be attended to Experts may also be delegated by national bodies to maintain good geographical distribution

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Question 4	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should members go through a training course before being allowed to register in the database?	**B: Training course should be offered but made optional**	Signing 'code of conduct' and training in technical usability to be mandatory	Online and offline trainings to be offered Not only frontal training options offered Experience based learning also offered	Multidisciplinary and complex area Code of conduct may be required but not one unified training	Make it clear that it does not offer 'general ethics experts' but expertise in specific ethics fields and areas

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Question 5	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should individual profiles focus on quantifiable elements of experience (such as years of experience in ethics, or number of cases assessed or number of EAUs participated in) within particular areas of expertise or experience need not be quantified?[10]	**B: Expertise should NOT be quantified, field and formal training is enough**		How many years is enough (minimal requirements to be set?) Information about experience limited to past 5 years (for uptodate knowledge)	Qantifyable information does not provide for quality of expertise	Quality measures beyond field and formal training also included Different expert types may use different quality information

[10] Question was altered for more clarity and better reflection on originally intended content.

The project leading to this application has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 710184.

Question 6	Consensus (or majority opinion if applicable)	Minority opinion if applicable	Key points of discussion	Justification of position	Remarks
Should the database require personal certification of any type or such certification is not required?	**B: Personal certification is NOT required to enter the database**		quality control required misuse of database membership to be avoided	No general certification (as training) is possible	Database membership should not be considered as an overall ethics certification

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8. Appendix III. (Additional documents)

8.1. Schedule

Time	Title	Process	Who
Morning session			
9:00	Welcome Explaining purpose/setting expectations Round of introductions Selecting a chairperson among stakeholders (who will manage the deliberations)	- Explaining what will happen, why and how - Introducing facilitators & experts - (S)electing chairperson [volunteer]	Robert Braun, Elisabeth Frankus
9:15	Brief overview of ENERI, the goal of the project, of the findings of the empirical program -- PPT presentation	.ppt presentation of the findings to date	Robert Braun
9.45	Q&A and discussion of the input report and challenges	Panel discussion with facilitator(s)	Robert Braun
10:25	Reading of the questions sheet		All stakeholders
10:30	Coffee break		
10:45	Discussion of the questions to be answered/shared understanding Pairs '10 Fours '10 Eights '10	Presentation of questions Chair taking over session Facilitators assist understanding and clarity Discussion with participants to arrive at shared understanding of the questions, what they entail, use of concepts etc.	Robert Braun, Elisabeth Frankus
11:15	Plenary Q&A	Chairperson discussing open questions after previous session focusing only on "shared understanding"	Chairperson
11:25	First round of deliberation in 3 smaller groups (questions) World Café format	Three groups for three questions (1 ENERI team member in each group observing)	All stakeholders
12.15	Lunch		
Afternoon session			
13:00	Second round of deliberation in 3 smaller groups (questions) World Café format	Four groups for four questions (1 ENERI team member in each group, answering questions if needed, but not moderating)	All stakeholders
14:00	Plenary discussion of results Chaired by selected chairperson	Groups get together, rapporteur present findings, discussion topics, consensual and non-consensual issues	All stakeholders
15:30	Preparing the report/fine-tuning response sheet Two groups (1-3; 3-6 questions)	Stakeholders write up consensus (majority & minority positions) on prepared flipcharts/template for the questions	All stakeholders
16:15	Final round of completing the response sheet	Final write-up	

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Time	Title	Process	Who
	Chairman to facilitate		
16:45	Closing remarks/quick round of reflection	Stakeholder reflection & thank you	Robert Braun
17:00	**End of day**		

Consensus feedback sheet

8.2. Feedback sheet

NAME OF PARTICIPANT:…….

QUESTION	ADDITIONAL POINTS OF DISCUSSION	ADDITIONAL REMARKS	ADDITIONAL JUSTIFICATION
1			
2			
3			
4			
5			
6			

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8.3. Reflection sheet

Reflection topic	Key remarks	Evaluation 1-10 (1 best; 10 worse)
Design and management of the consensus conference *[was the CC designed and managed in a way that its main purpose could be achieved]*		
Relevance of topic/questions [were the topics/questions important and potentially impactful]		
Diversity of stakeholders and opinions *[did the participants represent a wide variety of potential opinions to be found in society, was anytype of person missing]*		
Openness of discussion *[Did everyone have a voice, was there enough opportunity for all to express opinions]*		
Inclusivity of the process *[Was the language of the discussion accessible for all; was the setup inviting for participation in the discussion]*		
Reflexivity offered *[Was the awareness of our limitations of knowledge adequately represented through the design]*		

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Personal benefit in the process *[Did you as participant also gain something of value]*		
General evaluation (including food and venue) *[Was the setup, the moderation, the atmosphere, the environment appropriate and satisfying]*		

8.4. Role-guide to the Chairperson

A Chairperson is selected among the participants to assist the process of arriving at a consensus in the questions posed at the Consensus Conference. The Chairperson's main task is to assist structuring the conversation, especially in the World Café sessions and the Word Café Planary towards a manageable consensus and the collection of arguments (for and against a potential consensus) as well the main points of discussions and remarks.

The Chairperson participates and engages in the debates and does not (have to) stay neutral.

Roles in the different sessions:

11:15	Plenary Q&A	Chairperson discussing open questions after previous session (pairs/fours/eights) focusing only on "shared understanding"	Role: moderating session

Guiding questions:

- Did you all arrive at a shared understanding of the terms, of the alternative answers, of the process?
- Is there any clarification needed about language, purpose (goals of the database) or potential outcome (consensus) and how our input will be used?

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11:25	First round of deliberation in 3 smaller groups (questions) World Café format	Three groups for three questions (1 ENERI team member in each group observing)	Role: participating in debate
13:00	Second round of deliberation in 3 smaller groups (questions) World Café format	Four groups for four questions (1 ENERI team member in each group, answering questions if needed, but not moderating)	Role: participating in debate
14:00	Plenary discussion of results Chaired by selected chairperson	Groups get together, rapporteur present findings, discussion topics, consensual and non-consensual issues	Role: Moderating discussion/clarifying flipcharts

Discussion format (on flipchart)

Main points of discussion (problems, questions, issues):

Arguments in favor of answer A:

Arguments in favor of answer B:

Arguments in favor of answer C (if applicable):

Remarks and comments:

15:30	Preparing the report/fine-tuning response sheet Two groups (1-3; 3-6 questions)	Stakeholders write up consensus (majority & minority positions) on prepared flipcharts/template for the questions	Role :
16:15	Final round of completing the response sheet Chairman to facilitate	Final write-up	

Final report format:

Example only w/made up answers

Question 1	**Consensus (or majority opinion if applicable)**	**Minority opinion if applicable**	**Key points of discussion**	**Justification of position**	**Remarks**

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Should a broad, diverse and inclusive or a normative, limited approach to RE/RI expertise be applied? (expert types, RE/RI topics, organisational levels etc.)	**C: Open approach to be applied, a national authority, preferably a ministry supervising the process**	-	Exclusion criteria EU vs. National Offical status	Open in terms of topics, concepts of knowledge Only academics should participate Strong normative criteria who can be counted as 'expert'	Database should also contain information on personal motivation Red flags for failed projects

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8.5. Informed Consent ENERI – Consensus Conference

This informed consent sheet explains the further processing of your data and information provided in the research process and documents your rights.

Description of the Project

The EU funded ENERI project (European Network of Research Ethics and Research Integrity) – a project co-managed by the TSST Research Group at IHS led by Erich Griessler – aims to build a shared platform for advancing knowledge, capacities and practices concerning research ethics and research integrity. Project's main objective is "to create an e-community/database (…) of European and whenever relevant international experts in the different fields of research ethics and integrity", which "should notably ensure the certification of the knowledge level of the experts".

Kind of Data collected

During this ENERI Consensus Conference personal data will be collected. This may include your name, age, gender, occupation, professional background, education and your personal opinion. Furthermore pictures and videos will or might be taken.

Processing and Storing of your Data

For the analysis of the ENERI Consensus Conference minutes will be taken. Your data will be stored in a safe and lockable place at the investigators facility. Only the ENERI research team will have access to this data. At the end of the project your personal data will be erased. In case a publication is not finished by this date the data may be used until the work is finalized. Processed data might survive the project as it may become part of publications and other dissemination activities.

In the ENERI Consensus Conference you will state personal opinions. Full anonymization cannot be granted. Therefore you have the explicit right to not answer a specific question.

Your data will not be sent to third parties. The sole purpose of storing your data is for research. Your data will not be sent to countries outside the European Union.

Data Breach

In case of a data breach the Ethics and Data Protection Manager will be informed by the responsible researcher. Together they will undertake all steps necessary to minimize negative

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consequences. You will receive a notification about the nature of the Data Breach, the information lost and the actions taken as soon as possible.

Supervision

Questions related to Data Protection can also be directly addressed to tambrino@eurecnet.eu. She will gladly answer all your questions on Data Protection and the Ethics Code applied in the ENERI project.

Your rights

During the ENERI Consensus Conference you are always free to not answer a specific question or leave without any consequences. If you would like to address a question or an issue, please feel free to do so. Furthermore you shall have the right to access, to rectificate, to erase, to restrict the processing, the right to data portability and the right to object, as granted in GDPR Article 15 -22. You can also withdraw the consent given by signing this form at any time according to GDPR Article 6(1) and Article 9(2) without any consequences. Upon request your local supervisory authority will provide you information on exercising your right according to Article 57(e) GDPR.

Usage of your Data

The data generated within this ENERI Consensus Conference will only be used for the activities relating to ENERI. This includes the processing for research purposes and dissemination activities. Your data will under no circumstances be sold to any third party.

Dissemination of Results

The data generated will be used for research purposes and dissemination.

After having stated these general conditions and rules, we are looking forward to a good cooperation and positive project results. We would like to thank you in advance for your participation in the project.

The undersigned declare that they understand and consent to the conditions and rules stated in this document. Both parties receive a copy of this declaration of consent.

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I_____ (name of the participant) hereby release ENERI and any of its associated or affiliated institutions, their directors, officers, agents, employees and customers from all claims of every kind on account of such use.

Participant's signature:

Contact's signature:

Location, day/month/year

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8.6. Input information for the Consensus Conference series

Results from a qualitative & quantitative study

ENERI

2018

Robert Braun, Tine Ravn[11]

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[11] Other contributors to the research include: Laura Drivnal, Magdalena Wicher, Tamara Brandstatter, Helmut Honigmayer, Marlene Altenhofer

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Introduction

As described in the invitation letter you have received the ENERI (European Network of Research Ethics and Research Integrity) research project aims to build a shared platform for advancing knowledge, capacities and practices concerning research ethics and research integrity. The main objective in the project is "*to create an e-community/database (…) of European and whenever relevant international experts in the different fields of research ethics and integrity*", which "*should notably ensure the certification of the knowledge level of the experts*".

We have created a research program to address the above mentioned issues in a systematic way. The next phase of the program is a series of discussions called "consensus conferences" (in 4 European cities: Vienna, Athens, Aarhus and Vilnius) **to discuss and debate with potential "users" of the database the key questions of the database and also validate our findings**.

In order for participants in the consensus conferences to be able to express their opinions in an informed way, and also to get background information on the current status of research ethics and research integrity in Europe, you would like to share with you our research finding to date.

First of all, in this document we mean *research ethics* to mean the moral principles embedded in research and *research integrity* to be about the professional standards of conducting research.

In the following pages, you will:

- Read about some major ethical scandals in research;
- The current state of research ethics/integrity and the institutions that deal with ethics/integrity;
- What research ethics/integrity experts tell us in interviews about how a database of experts should be built;

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- What a wide range of experts tell us in a quantitative online survey about how a database of experts should be built.

After having read this document you are encouraged to form your own opinion about the issues raised therein. Please also prepare some questions, to be answered by experts in the workshop, that would assist you in better understanding the subject at hand and also to enter into debate with others.

We hope you will enjoy reading the document and also participating in the discussions at the workshop.

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The 10 Biggest Research Scandals in Academic History[12]

Despite their ostensible intelligence, academics are not at all immune to engaging in risky behaviors that erupt in spectacular displays of controversy. Even if they ultimately prove innocent or unaccountable, their situations always pose inevitable questions about the ethics and legalities behind the research and publication process. The following incidents in particular managed to spark fireworks on an epic scale, inciting a flurry of insight into what needs to be done to better prevent any potentially damaging abuses.

1. **Stephen Ambrose** (discipline: History)**:**

This popular historian and professor enjoyed bestseller status and mainstream recognition for his inquiries into World War II, most notably *The Wild Blue*, and biographies of presidents Eisenhower and Nixon. By 2002, however, it came to light that Stephen Ambrose quite shamelessly plagiarized much of his research from lesser-known contemporary Thomas Childers, the author of *Wings of Morning*. *Forbes* launched a painstaking investigation into his oeuvre and unearthed entire passages lifted from other historians with no attribution whatsoever — in at least six books and his doctoral thesis, no less! Just as scandalously, the interviews compiled into his allegedly solicited biography of Eisenhower proved to be complete phonies as well.

2. **James Crick, Francis Watson, and Rosalind Franklin** (field: Molecular Biology)**:**

Both James Crick and Francis Watson scored themselves some sweet, sweet Nobel Prize lovin' for discovering the double helix structure of DNA. Missing from the honors? Rosalind Franklin, whose research and X-Ray photographs proved integral to the groundbreaking find. The snub remains one of the most prominent controversies regarding the invisible role women played (and, occasionally, still play) in the sciences. While Watson and Crick cannot be said to have plagiarized since they built everything on top of her foundation, the scandal comes in their failure to properly acknowledge her contributions.

[12]From (adapted): http://www.onlinecollegecourses.com/2012/06/03/the-10-biggest-research-scandals-in-academic-history/ Accessed: 17.04.2018.

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3. **Jan Hendrik Schon** (field: Nanotechnology):

Bell Labs physicist Jan Hendrick Schon enjoyed a brief stint as the darling of all things nanotechnological — specifically, transistors — and the journals *Science* and *Nature* scrambled to publish his findings as quickly as he could write them. His fellow scientists, however, noted completely different results when replicating the experiments, with many of them openly questioning how exactly he came to his conclusions. Seeing as how this article isn't about honest folks doing honest things (for the most part, anyways), what came next won't shock anyone except for those with the absolute worst reading comprehension skills. When Schon's employers and Stanford University set about confirming his findings, they found many of his notes missing or deleted, and his machinery too damaged to use. University of Konstanz stripped him of his Ph.D., the journals in question ripped out his offending articles, and the scientific community whipped itself up into a frothing mess arguing over peer reviews and accountability.

4. **The Stanford Prison Experiment** (discipline: Psychology):

The results may have proven both original and verifiable, but the infamous Stanford Prison experiment blew up over major ethical concerns. Psychology professor Philip Zimbardo set up volunteers in a jail simulation, assigning them roles as either prisoners or guards. Without interfering, he planned to study the dynamics of power abuse and submission/domination scenarios. And study he did, although the students assigned to the unregulated prison guard positions began displaying some distressingly aggressive behavior, going so far as to delight in beating their cowering classmates. Critics expressed understandable worry over what sort of psychological damage the environment and policy of non-intervention might instigate. However, in 1971, the American Psychological Association did grant Zimbardo permission to carry it out.

5. **Ward Churchill** (discipline: Philosophy):

Mentioning former University of Colorado at Boulder ethnic studies professor Ward Churchill in certain settings raises tempers, whether directed at the school who fired him or the man himself. In January 2005, Churchill's work attracted controversy because of the circulation of a 2001 essay, "On the Justice of Roosting Chickens", in which he argued the September 11 attacks were a natural and unavoidable consequence of unlawful US foreign policy over the latter half of the 20th century; the essay is well known for Churchill's use of the phrase "little Eichmanns" to describe the "technocratic corps" working in the World Trade Center. Churchill was fired on July 24, 2007, leading to a claim by some scholars that he was fired because of the "Little Eichmanns" comment. Churchill filed a lawsuit against the

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University of Colorado for unlawful termination of employment. In April 2009 a Denver jury found that Churchill was wrongly fired, awarding him $1 in damages. In July 2009, however, a District Court judge vacated the monetary award and declined Churchill's request to order his reinstatement. In September 10, 2012, the Colorado Supreme Court upheld the lower courts' decisions in favor of the University of Colorado. On April 1, 2013, the United States Supreme Court declined to hear the case.

6. Duke University cancer research (discipline: Medicine)**:**

Even after Jan Hendrik Schon inspired fiery discussions about peer editing academic research, Duke University's scandalously falsified reports of a possible cancer cure managed to slip through and raise the serious issue all over again. Although he did not work alone, Dr. Anil Potti serves as the "face" of the potentially life-threatening controversy. His team published findings regarding predicting the spread of lung cancer cells in *The New England Journal of Medicine*, drawing excited gasps from healthcare professionals pondering the possibilities. But when MD Anderson Cancer Center researchers started testing and asking questions, the potentially earth-shattering article crumbled. Confirmation regarding their alleged manipulated results and stolen theories led to looks into Potti and academic partner Joseph Nevins' credentials, and it came out that the former lied about a Rhodes Scholarship. Unsurprisingly, Potti resigned from his position at Duke in 2010.

7. Nancy Olivieri (discipline: Medicine)**:**

Kids with serious blood disorders such as thalassemia traveled from all over the world to the Hospital for Sick Children in Toronto. There, hematologist Nancy Olivieri tested some new drugs underneath the sponsorship of pharmaceutical giant Apotex, hoping to find cures for their painful conditions. This meant stacks and stacks and stacks of papers governing confidentiality while she conducted her research, and scandal bubbled to the surface when she defied the paperwork and published findings revealing some nasty side effects in the patients who trusted her. Both the Hospital for Sick Children and University of Toronto joined Apotex in chastising Olivieri for breaking her contract, but she still expressed concern with *The New England Journal of Medicine*, ethics boards, and the Canadian government. Her boldness issued forth some challenges regarding what should really come first: contracts or the safety of patients?

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8. Diederik Stapel (discipline: Psychology):

For well over a decade, Diederik Stapel of University of Groningen, University of Amsterdam, and University of Tilburg printed up more than a dozen psychological studies, which landed him success in both academic journals and mainstream news outlets. His 2011 suspension happened as a direct result of pretty much all of it being straight-up garbage. More than 30 publishing outfits found themselves duped by falsified research, plagiarism, and all other fun, grossly unethical good times. Although they maintain their anonymity for perfectly understandable reasons, it's suspected that his notoriously abused graduate students – and maybe even a colleague or two – finally went and told the school what was up. Stapel currently contends with criminal charges filed by University of Tilburg for compromising the academic success of everyone who relied on his research.

9. Marc Hauser (discipline: Psychology):

Funny enough, this Harvard psychology professor specialized in cognition and morality. And then he wound up resigning in 2011 after a staggering eight counts of scientific misconduct. Both the National Science Foundation and the U.S. Office of Research Integrity went after him following accusations of falsified and incomplete data regarding his work with tamarins, much of which appeared in the journal *Cognition*. Back in 1995, Hauser's reputation already flickered in and out because of manipulated claims regarding monkey behavior as far back as 1995, but it wasn't until 2010 when he really had to start answering for his ethical violations.

10. Henrietta Lacks case (discipline: Biology/Medicine):

When Johns Hopkins Hospital harvested Henrietta Lacks' cervical cancer cells in 1951, no laws existed governing the ethics of using (or profiting off) them in medical research without the person's consent — and especially not for an impoverished African-American woman. Journalist Rebecca Skloot's inquiry into the history of how these perpetually-replicating biological marvels led to the creation of the polio vaccine and other earth-shattering scientific breakthroughs, *The Immortal Life of Henrietta Lacks*, renewed interest in the humanity behind the healthcare; in particular, questions regarding why so many made money from HeLa cells while her survivors remained in economic despair. It's a complex, intricate situation to navigate, to be certain, and one whose scandal never fully coagulated until more than half a century later.

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Ethics and integrity in research

Since the latter part of the twentieth century, developments within science and technology have progressed apace: global R&D investments in research have enlarged significantly; the number of researchers worldwide has increased by millions, within the last decades, and scholars are increasingly working within international and interdisciplinary research fields. Moreover, scientific advances related to emerging technologies, for instance within the field of biotechnology, have brought forth significant and substantial improvements but, in chorus, they have also raised new risks and ethical questions concerning the implications for the human and non-human subjects involved. Several theorists in the 21st century refer to the science-society co-productive nature of scientific knowledge and a corresponding obligation for inclusive and democratic governance. However, one could equally argue that both technological and social innovations demand amplified attention to both research ethics (i.e. moral principles embedded in research)and research integrity (i.e. professional standards of conducting research) or, taken together, efforts to foster responsible conduct of research.

The issue of research ethics and integrity has always been immersed in research processes. Nonetheless, the changing nature of science and of research infrastructures (i.e. funding structures, performance measures, journals, administration etc.) together with a rising number of cases of research misconduct, have resulted in a steady increase in the production of knowledge within this field. Researchers show a growing interest to understand the causes and effects of research misconduct and questionable research practices and to conceptualise and clarify the diverse terminology related to responsible conducts of research. Even so, such efforts have primarily pertained to the biomedical and behavioural sciences and great diversity still exist in the knowledge on performing responsible research across scientific fields. Similarly, while efforts to promote responsible research have resulted in global statements such as the 'Singapore Statement of Research Integrity'[13], a production of codes of conducts and a variety of international and national bodies to assess, oversee and reinforce responsible research practices, cross-country heterogeneity still characterise practices, legislation, guidelines and procedures to enhance ethics and integrity within research. Such heterogeneity also portray efforts to handle and manage allegations of irresponsible research, and no transnational 'harmonised procedures' exist.

Several mechanisms, standards and actions are already implemented to further substantiate and foster research ethics and integrity, but as documented in the emerging literature within this field, further measures are required to address and mitigate irresponsible conduct in

[13] www.singaporestatement.org/statement.html

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research. In addition to individual, institutional and national measures to safeguard and stimulate such professional standards, transnational efforts to increase and harmonise standards are seen to benefit from professional community and network building and from knowledge exchange and the formation of knowledge bases, among other mechanisms. One way to promote such exchanges is through the setting-up of experts groups and networks whose expertise and qualified membership may add to a greater awareness, dissemination, substantiation and harmonisation of cross-country knowledge, standards and 'best practices' within the fields of research ethics and research integrity.

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Background information on research ethics and research integrity

Complete consistency in terminology and definitions within the field of research ethics and integrity does not exist in the literature. Nonetheless, the growing body of work within these fields and, consequently, the work performed to understand and conceptualise (ir-)responsible conduct of research increasingly seem to add to a more collective and coherent nomenclature. While research ethics and research integrity often are treated as distinct research fields, they combine general ethical reflections, ethics and law as academic disciplines addressing research activities, moral attitudes of researchers, normative policies of stakeholders and various other ethical expectations. In this review, we adopt the concept of responsible conduct of research as an overall framework that encompasses both the notion of research ethics and research integrity.

A definition of Responsible Conduct of Research (RCR) covers:

> '*Conducting research in ways that fulfil the professional responsibilities of researchers, as defined by their professional organizations, the institutions for which they work and, when relevant, the government and public*' (Steneck 2006, 55).

Within this terminology, research integrity is defined as '*research behaviour viewed from the perspective of professional standards*' and research ethics as '*research behaviour viewed from the perspective of moral principles*' (Steneck 2006, 56). Research integrity comes from the Latin word *integer* and refers to the aspect of wholeness or completeness and, as encompassed within the Singapore statement, relate to the '*trustworthiness of research*'. Integrity refers to research findings and the process, in which they are produced (i.e. data, methods, interpretation and presentation/reporting) and whether such processes and findings meet established and appropriate scientific, legal and professional standards.

By comparison, research ethics pertains to the moral issues that occur in the research design and its implementation, for instance in relation to the protection of humans, animals, environment, data as well as the proper protection of other objects.

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Responsible conduct of research represents ideal research behavior from the part of individuals and institutions. Opposite, scientific misconduct constitute the worst kind of research behavior and, despite definitional variation, it covers the common understanding of incorporating fabrication (data/case invention), falsification (data/results/process/equipment manipulation), and plagiarism (copying of ideas/data/results/words without crediting).

Responses to allegations of irresponsible research behavior differ from country to country; in some countries, national funding agencies such as the German DGF Ombudsman may act as an alternative reporting/mediator mechanism. In other countries, national bodies may function as advisory bodies only or have institutional oversight or sanctioning responsibilities. Nonetheless, in most countries the concerned university or research institution has the main responsibility for handling allegations of scientific misconduct and quality of research procedures (IAP 2012, 4).

Research Ethics Committees (RECs)

Research Ethics Committees (RECs) or Ethics Assessment Units (EAUs) are key drivers for promoting ethics in research and in assessing the ethical impacts of research, emerging technologies and innovation projects. Likewise, Research Integrity Offices (RIOs) and committees play a decisive role in promoting and upholding research integrity in their capacity of advising/instructing in current guidelines/regulations and in handling cases of scientific misconduct and questionable research practices.

Research integrity committees at the national level

While RECs seem to be more established bodies internationally, cross-country systems for approaching research integrity appear more heterogeneous. According to a comparison of RI systems for handling scientific misconduct in 15 different countries, three distinct roles can be identified: a) commissions can be tasked with an advisory role b) they can have decision-making power in specific cases or c) have the mandate to ‘supervise institutional processes’.

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For nationally established research integrity commissions, a few general characteristics of member composition can be identified:

- Members are appointed for a specific period of time, often between 2-4 years
- Members represents different research disciplines
- Members are highly acknowledged scholars
- Many national commissions have a legal expert appointed (often a judge),
- Some commissions can draw on international experts in specific cases (Danish Agency for Science and Higher Education 2015, 87)

Research integrity committees at the institutional level

Research integrity committees and offices are increasingly being established at universities and research institutions worldwide, and procedures, strategy plans and guidelines have been produced to handle allegations of irresponsible research practices and/or advise on questions related to research integrity and ethics. As mentioned above, their composition and responsibilities may vary significantly among countries and institutions.

In the US, policies and procedures regarding misconduct in research are most often handled administratively by Research Integrity Offices or more specifically by Research Integrity Officers (RIO). The role of the RIO is not well-defined within a regulatory framework, but it often entails significant responsibilities and the functioning of being both '*prosecutor, judge, mediator, counsellor, teacher and regulatory manager*'. As to the collective and individual competences of RIO's, Wright & Schneider emphasizes that '*the RIO needs personal staff gifted in handling people and, ideally, staff with some training in forensics. Legal counsel, academic subject matters experts, IT experts, and a representative of institutional police or security are also key team members*'.

Research Ethics Committees

Most countries have established research ethics committees to review and monitor research projects, and in particular within the biomedical field of research. In the UK, around 100 research ethics committees are established as independent bodies of the Health Research

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Authority. A committee consists of 7-15 lay and expert members. Expert members are required to be healthcare professionals with particular professional qualifications (hard skills). However, for both types of lay and expert members, a set of essential qualities are required in order to be appointed (soft, process and emotional skills).

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Our research on "What constitutes expertise in research ethics and research integrity?"

The European ENERI project (European Network of Research Ethics and Research Integrity) aims to build a shared platform for advancing knowledge, capacities and practices concerning research ethics and research integrity.

One part of this work addresses the main objective in the project as "to create an e-community/database (…) of European and international experts in the different fields of research ethics and integrity", which "should notably ensure the certification of the knowledge level of the experts."

The main objectives are:

(1) to explore and develop indicators that are widely accepted in the heterogeneous field of research ethics and integrity representing expertise in the two areas to be implemented in the expert data base;

(2) to evaluate the experiences gained with the validity and usability of the indicators and to adapt them accordingly; and

(3) address the construction, mapping, and monitoring of central expert criteria.

Our expert interviews tell us:

Database design

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- Broad agreement among experts concerning the valuable aspect of establishing a database, adopting an inclusive, diverse and transparent approach to RE/RI expertise.

Required skills and qualifications:

- Most experts explicitly suggest adopting a broad, diverse and inclusive approach to RE/RI expertise, holding that such expertise can take many forms (expert types, RE/RI topics, organisational levels etc.) Formal and relevant education, as well as established experience within a certain RE/RI field of expertise, counts as the most important RE/RI expert criteria.
- Softer and emotional skills are highly prioritized. Expert interviews show that such skills need to feature into the individual database profiles and into the final sets of criteria/indicators in some form.

Access database training & certification:

- An optional training course before database entering might be relevant, but a majority of interviewees would not make it mandatory. Several also question how to design a standardised course that would work as a common expert foundation.
- A few experts see a personal issued database certification as a good idea. Several view it as acceptable, but find it difficult to see its real value and the incentives for issuing one.
- The issue of training requirements and the issue of issuing a personal certification do not yet yield clear recommendations.
- The pros and cons of issuing a personal certification for database membership are not conclusive, based on the interview study, and the topic could profitably be a prospect for further assessment.

Our quantitative survey tells us:

- **Skills and competences:**
  Based on the survey we may conclude that respondents value ‘experience’ or praxis in RE/RI assessment the most; while would like to see experts possess some theoretical ethics/philosophy (and to a lesser extent ‘legal’) knowledge to back up their practical experiences. When assessing required skills respondents say that experts should be personally committed open-minded and impartial people, with analytical minds to solve

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the ethical/moral dilemmas that may arise as problems, while also being able to convey and deliberate their potentially diverging opinions or point of views.

- **Use of database:**
  Respondents find an international database/e-community to be a very useful initiative and name various uses from the potential use to 'find experts for guidance on RE/RI policies, guidelines, codes of conduct etc. and 'find research ethics experts for European/international networks'.

- **Database design:**
  Respondents suggest that the design of the database should (pre)define all skills and expertise of the database members as well as years of practical experience is somewhat more important than specific educational background. When it comes to specific skills and competences respondents value RE/RI experience as well as previous experience in RE/RI commissions experience the most, closely followed by scientific/research experience. As for the structure of the database respondents value a number of short self-descriptions of key areas of expertise over tick-off standardized categories or a few standardized themes and open cells for filling in whatever the expert finds important.

- **Training:**
  The majority of respondents claim that training should only offered on a voluntary basis and not be made mandatory and 'any ethics/integrity training' should be accepted as opposed to a certified training by an official body.

- **Certification:**
  When defining the type of certification required for the training, a majority would opt for a certification to be received at the end of the completion of the course as opposed to the requirement of certifying the teaching method.

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Summary

Our expert interviews represented a broad agreement among experts concerning the valuable aspect of establishing a database, adopting an inclusive, diverse and transparent approach to RE/RI expertise. This has been reinforced in the quantitative survey.

As for skills and qualifications most experts explicitly suggest adopting a broad, diverse and inclusive approach to RE/RI expertise. According to experts', formal and relevant education, as well as established experience within a certain RE/RI field of expertise counts as the most important RE/RI expert criteria. These have also been confirmed by the quantitative research as survey respondents value 'experience' or praxis in RE/RI assessment the most; while would like to see experts possess some theoretical ethics/philosophy (and to a lesser extent 'legal') knowledge to back up their practical experiences.

Expert interviews have shown that soft skills need to feature into the individual database profiles and into the final sets of criteria/indicators in some form. Respondents in the quantitative survey have emphasized 'impartiality', and 'open mindedness' as well as 'personal commitment'. 'Administrative' and 'technical' skills are valued the least, while 'analytical', 'problem solving' and 'debate/deliberation' skills are highly valued therefore potentially to be included in the database design.

Experts are in agreement with respondents in our survey that an optional training course before entering the database might be relevant, but it should not be mandatory. Experts see a personal certification as a good idea and so do respondents in the survey: a majority would opt for a certification to be received at the end of the completion of an RE/RI training course.

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List of Abbreviations

RI……..Research Integrity

RE……Research Ethics

EAU……..Ethics Assessment Unit

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