



Univerzita
Karlova

Od teorie k praxi

Výzkumná etika a integrita v evropských programech





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Karlova

Evropské centrum, Odbor pro vědu a výzkum, RUK

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O NÁS

PROJEKTY & GRANTOVÉ PROGRAMY

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O nás

Cílem Univerzity Karlovy je uhájit pozici a dále se posouvat jako excelentní Univerzita v regionu a v evropském vědeckém a vzdělávacím prostoru. Prostředkem k tomu je mimo jiné podpora projektů zaměřených na vzdělávání, výzkum, třetí roli a strukturální rozvoj instituce.

K tomuto cíli chce Evropské centrum přispívat kvalitní grantovou podporou v oblasti výzkumu a vyššího vzdělávání v rámci unijních programů (primárně Horizont Evropa a Erasmus+).

Naším hlavním cílem je vyvinout **komplexní a efektivní systém pro podporu výzkumných (a vzdělávacích) projektů na UK z unijních programů**. Evropské centrum proto nabízí podporu v přípravě projektových žádostí a metodického poradenství během realizace projektů a možnosti networkingových aktivit v rámci rozsáhlých sítí, do kterých je Univerzita Karlova zapojena ([EARMA](#), [CZARMA](#)).

**4eu+** EUROPEAN
UNIVERSITY
ALLIANCE

V Evropském centru také **koordinujeme zapojení UK v evropské univerzitní alianci 4EU+**.

Alliance 4EU+ je **partnerství osmi předních evropských univerzit**, jehož posláním je dosáhnout špičkové kvality v oblastech výzkumu, výuky, vzdělávání i podpůrné administrativy a vytvořit vhodnou platformu k zajištění volného pohybu studentů, akademických a administrativních pracovníků i myšlenek, a také pro sdílení infrastruktur.

VÍCE O 4EU+ NA UK

**CHARLESTON**
GRANT OPPORTUNITY FOR
YOUNG RESEARCHERS

Program **CHARLESTON**, spolufinancovaný z **MSCA COFUND** (Horizont Evropa), je projektem Univerzity Karlovy na podporu mladých vědeckých pracovníků ze zahraničí.

V rámci programu bude podpořen výzkum celkem 20 postdoktorandů, kteří budou 24 měsíců působit na univerzitě a také absolvují 3–6měsíční stáž v neakademické instituci.

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Etický kompas (CZEDUCON 2023)



The European Union's (EU) commitment to fostering ethics in research and education is at the forefront of shaping a responsible and innovative knowledge society.

Ethical conduct enhances the trustworthiness and credibility of both research and educational institutions. In research, ethical practices help build trust among participants, stakeholders and the public, increasing the reliability of research findings. In education, ethical behaviour among educators fosters trust between teachers, students and parents, creating a positive learning environment.

The EU has been actively engaged in promoting ethics in research through various policy frameworks and initiatives. Ethical considerations in research are essential to ensure the responsible and transparent conduct of research activities. Among many other initiatives, the EU has incorporated ethical considerations into its research funding programmes and criteria, ensuring that research projects align with ethical standards and societal values.

The same applies to the field of education. The EU's policy framework on ethics in education primarily centres on fostering inclusive, high-quality education systems that uphold fundamental European values, such as democracy, human rights, academic freedom and social inclusion.

By attending this event, participants will gain a deeper understanding of the ethical framework in research and education at both EU and national level and will learn about best practices from Czechia's neighbouring countries.

Participants:

The event is open to all universities' and research institutes' management and administrative staff, researchers, academics, ethics and compliance professionals and other interested stakeholders from Czechia and its neighbouring countries.

Speakers:

- **Isidoros Karatzas**, European Commission, DG RTD
- **Pavel Doležek**, Deputy Minister for Science, Research and Innovation
- Representative of Ministry of Education, Youth and Sports of the Czech Republic (bco)
- **Sabine Chal**, Austrian Agency for Research Integrity

Date:

Tuesday 21 November 2023; 13:00 – 15:30

Venue:

Hotel Passage, Brno, Czechia

Agenda:

13:00 – 13:10	Opening
13:10 – 13:50	EU policy on ethics in research and education (DG RTD, European Commission)
13:50 – 14:00	Q&A
14:00 – 14:10	Coffee Break
14:10 – 15:00	Policies on ethics in research and education in Czechia
15:00 – 15:20	Best practice example from abroad – Austrian Agency for Research Integrity
15:20 – 15:30	Closing remarks





Etika v projektech Horizon Europe

HORIZONT
EVROPA



NOVÁ VIDEO: Etika v projektech HE

26.06.2024



Etický rozměr projektů Horizont Evropa je nutné brát v potaz již v době přípravy projektového návrhu. Jaké aktivity jsou považovány za eticky citlivé? Kde se v návrhu projektu etické souvislosti uvádějí a jak jsou posuzovány? Více ve dvou krátkých videích TC Praha:

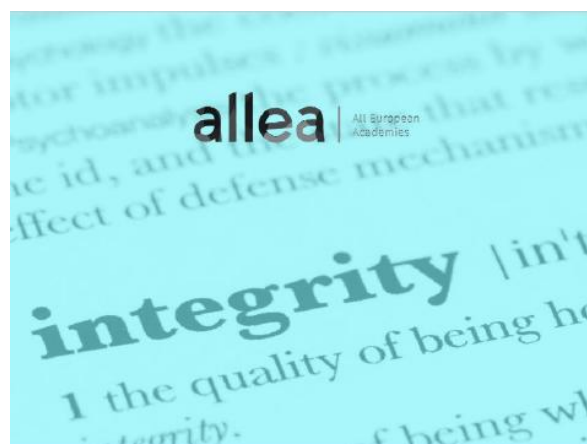
[Etické aspekty v projektovém cyklu](#)

[Eticky citlivé aktivity v projektech](#)

Vydalo: TC Praha, 26. června 2024

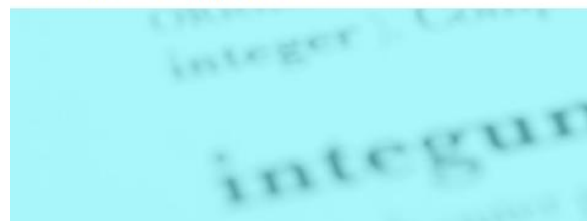
Další videa z dílny TC Praha i jiných subjektů, které se týkají programu HE, naleznete na stránkách programu HE v sekci [E-LEARNING](#).

ECCRI (ALLEA 2023)



The European Code of Conduct for Research Integrity

REVISED EDITION 2023



1. Principles

Good research practices are based on fundamental principles of research integrity. They guide individuals, institutions, and organisations in their work as well as in their engagement with the practical, ethical, and intellectual challenges inherent in research.

These principles include:

- **Reliability** in ensuring the quality of research, reflected in the design, methodology, analysis, and use of resources.
- **Honesty** in developing, undertaking, reviewing, reporting, and communicating research in a transparent, fair, full, and unbiased way.
- **Respect** for colleagues, research participants, research subjects, society, ecosystems, cultural heritage, and the environment.
- **Accountability** for the research from idea to publication, for its management and organisation, for training, supervision, and mentoring, and for its wider societal impacts.

3. Violations of Research Integrity

It is of crucial importance that researchers master the knowledge, methodologies, and ethical practices associated with their field. Failing to follow good research practices violates professional responsibilities. It damages the research processes, degrades relationships among researchers, undermines trust in and the credibility of research, wastes resources, and may expose research participants and subjects, users, society, or the environment to unnecessary harm.

3.1 Research Misconduct and other Unacceptable Practices

Research misconduct is traditionally defined as fabrication, falsification, or plagiarism (the so-called FFP categorisation) in proposing, performing, or reviewing research, or in reporting research results:

- **Fabrication** is making up data or results and recording them as if they were real.
- **Falsification** is manipulating research materials, equipment, images, or processes, or changing, omitting, or suppressing data or results without justification.
- **Plagiarism** is using other people's work or ideas without giving proper credit to the original source.

There are further violations of good research practice that distort the research record or damage the integrity of the research process or of researchers. In addition to violations

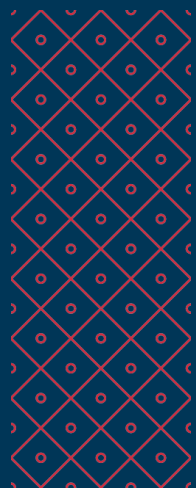
of the good research practices set out in this European Code of Conduct, examples of other unacceptable practices include, but are not confined to:

- Allowing funders, sponsors, or others to jeopardise independence and impartiality in the research process or unbiased reporting of the results.
- Misusing seniority to encourage violations of research integrity or to advance one's own career.
- Delaying or inappropriately hampering the work of other researchers.
- Misusing statistics, for example to inappropriately suggest statistical significance.
- Hiding the use of AI or automated tools in the creation of content or drafting of publications.
- Withholding research data or results without justification.
- Chopping up research results with the specific aim of increasing the number of research publications ('salami publications').
- Citing selectively or inaccurately.
- Expanding unnecessarily the bibliography of a study to please editors, reviewers, or colleagues, or to manipulate bibliographic data.

Obsah

1. Správa osobních dat (GDPR)
2. Etika ve výzkumu znevýhodněných skupin
3. Specifika etiky ve společenskovědním a humanitním výzkumu (SSH)





Správa osobních dat (GDPR)



Ochrana osobních dat

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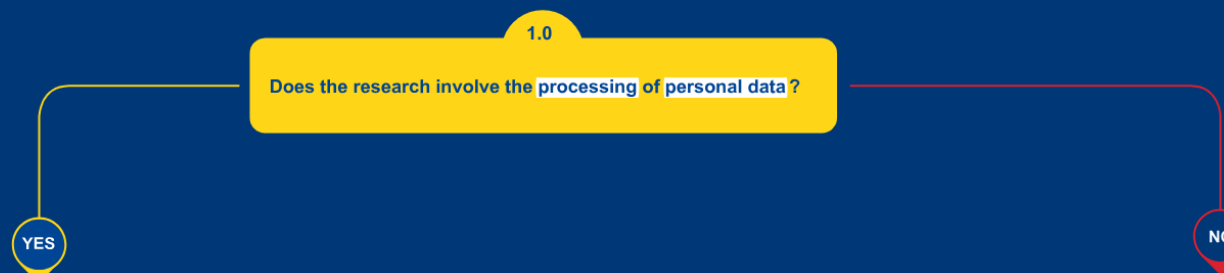


Ochrana osobních dat

Ethics and Data Protection Decision Tree

THE FOLLOWING QUESTIONS
ARE INTENDED TO :

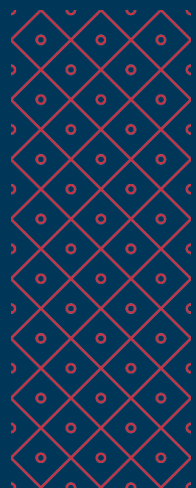
1. Support the identification of potential ethics risks related to the data processing activities of your proposal/project
2. Facilitate compliance with the data ethics requirements aimed at safeguarding the fundamental human rights and freedoms of the research participants
3. Foster the application of the 'ethics by design' principles





Použité materiály - GDPR

- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-and-data-protection_he_en.pdf
- <https://ec.europa.eu/assets/rtd/ethics-data-protection-decision-tree/index.html>



Etika ve výzkumu znevýhodněných skupin



Znevýhodněné skupiny

Různé skupiny lidí v rámci dané kultury, kontextu a historie, které jsou vystaveny **riziku vícenásobné diskriminace** v důsledku vzájemného působení různých osobních charakteristik nebo důvodů, jako je pohlaví, gender, věk, etnická příslušnost, náboženské vyznání nebo přesvědčení, zdravotní stav, zdravotní postižení, sexuální orientace, genderová identita, vzdělání nebo příjem, nebo život v různých geografických lokalitách.

Příslušnost k těmto skupinám nebo dokonce pouhé vnímání jako jejich příslušník **zvyšuje riziko nerovností v přístupu k právům a využívání služeb a zboží** v různých oblastech, jako je přístup ke vzdělání, zaměstnání, zdravotní péči, sociální a bytové pomoci, ochraně před domácím nebo institucionálním násilím a spravedlnosti.



EUROPEAN COMMISSION
Directorate-General for Research and Innovation

Guidance note — Research on refugees, asylum seekers and migrants

1. Background

Research on refugees, asylum seekers and migrants concerns a particularly vulnerable group which needs particular safeguards in terms of research ethics.

This note provides some guidelines to help you make your research ethics compliant.

2. General principles

To account for their particular vulnerability, you should apply the following principles whenever your research involves such participants:

- treat them with care and sensitivity
- be objective and transparent
- avoid ethnocentricity: show respect for their ethnicity, language, religion, gender and sexual orientation
- rigorously safeguard the dignity, wellbeing, autonomy, safety and security of their family and friends
- respect their values and right to make their own decisions
- give special protection to participants with diminished autonomy, such as unaccompanied minors — for example, by involving NGOs or national authorities (e.g. *National Refugee Councils*) with relevant experience, to provide legal advice, psychological support, language interpreting and/or legally appointed supervision.

What to include in your ethics self-assessment

Information on the participants' legal status and any details regarding their specific vulnerability due to their status.

Confirmation that your research:

- is relevant to the communities involved (both source and host)
 - has objectives that are not harmful or prejudicial to participants

A detailed strategy document describing:

- the procedures you will implement to protect participants' best interests and ensure their involvement will not jeopardise safety or increase vulnerability
 - how the criterion of relevancy will be satisfied (e.g. by prior consultation with the community itself or a cultural insider)

3. Specific concerns

Recruitment of researchers

Consider including researchers with a refugee or migrant background, or from the same culture. This may mitigate potential risks of coercion or power differentials between researchers and participants.

⚠ Be aware that such people could also act as gatekeepers or could even amplify power differentials.

What to include in your ethics self-assessment

Details on recruitment, inclusion and exclusion criteria for researchers:

- justify your interactions with vulnerable groups

The reasons may vary but there are common principles: give a rationale for your methodology, including the research subject, choice of research sites, participants and researchers; how you plan to establish a trust relationship with participants; how you will be transparent about future use of findings and their potential harm/benefit for vulnerable groups.
- do not create unjustified expectations in participants about:
 - future residence in the EU or the determination of their refugee status by any national authorities
 - how the research will help to improve the situation of their group and how participants will be recognized or rewarded (make sure to avoid undue inducement)
- justify why certain volunteers cannot be recruited, to avoid concerns about favouritism and unfair exclusion.

Informed consent

Demonstrate appropriate efforts to ensure participants fully understand the implications of being involved in your research.

Issues

Informed consent procedures may discourage participants from participating in research projects:

- signing consent forms may jeopardise their anonymity — important to people fearing persecution in their home country or capture by host country law enforcement agencies
- complex and legalistic consent forms can be difficult to translate into multiple languages in a comprehensible style, particularly where participants have low levels of literacy

Alternatives to consent forms

You may use less formalised procedures for giving information and obtaining consent, such as:

- including a cultural insider in the process
- working with a recognised NGO
- using oral consent (only with the knowledge and approval of a competent Research Ethics Committee).



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⚠ For particularly vulnerable groups (participants in refugee camps (closed, waiting or detention camps) and unaccompanied minors consider having in all cases an experienced NGO member (with relevant and acknowledged credentials) or a cultural insider present during informed consent procedures.

Participation by such groups might be less genuinely voluntary, especially in research sponsored by powerful organisations.

What to include in your ethics self-assessment

Details on any less formalised procedures for giving information and obtaining consent (alternatives to consent forms).

Incidental findings

You must handle appropriately any information you discover unintentionally that is not related to your research aims, such as:

- human rights violations (on or by the participants)
- human and sexual trafficking
- domestic violence
- forced marriage
- female genital mutilation
- trading in human organs
- child pornography.

What to include in your ethics self-assessment

A **strategic plan** for helping participants in these situations, e.g. by informing the responsible national authorities, NGOs or other agencies with relevant expertise. This plan must be **approved** by a competent national research ethics committee.

Rehousing, relocation and safe passage

Research on participants should not influence housing, resettlement, relocation or status determination procedures.

Protection of personal data

To protect participants' safety (as stated above) and prevent possible stigmatisation, social exclusion or racism.

Act as follows:

- Be extremely careful about which **type of information** you collect. Only gather data that is essential for your specific research aims. Do not collect names, addresses or specific locations and exact dates unless absolutely essential.
- **Store all data safely**: password-protected where appropriate and separate from any other personal or communication data, such as meeting points or mobile numbers (*pseudonymisation*).
- Keep **completely anonymous** any information that participants wish to hide for reasons of personal safety or privacy.

What to include in your ethics self-assessment

A detailed strategy to ensure all personal data collected will be kept confidential and anonymous. Explain this thoroughly to the participants in the Information Sheets or orally (if approved by a competent national research ethics committee).

Your procedures for data collection, storage, protection, retention, transfer, destruction or re-use (including: collection methodology, digital recording, picture, etc.), exchange (LAN, cloud, etc.), data structure and preservation (encryption, anonymisation, etc.), data merging or exchange plan, commercial exploitation of data sets etc.

Your data safety procedures (protective measures to avoid unforeseen usage or disclosure, including mosaic effect, i.e. enabling identification by merging multiple sources).

The specific procedures that you will implement to ensure the confidentiality and anonymisation/pseudonymisation of personal data about the relocation of participants (especially for participants defecting or leaving their country for political reasons).

Explicit confirmation of compliance with national and EU legislation, (in particular, the General Data Protection Regulation 2016/679).

Measures to ensure that responsible adults or legally appointed supervisors provide consent for any collection of data or material (e.g. genetic material) involving minors.

Details of any information on participants processed by NGOs or other organisations involved in programmes to relocate refugees.

Observing, researching or interviewing refugees in such programmes should only take place if:

- authorised by the national or EU authorities responsible
- the use of the information is limited in scope, so guaranteeing effective data protection.

Protocols describing confidentiality and limitations on use of personal data that you have obtained from the NGOs, if information collected by them can be used in your research.

Details of how health data gathered during participants' entry into the EU will be handled with special care.

Confirmation that any publication of participants' data (e.g. social networking, webpages) will always comply fully with EU data protection rules.

Confirmation that any audio and visual material will have the full informed consent of the participants involved.

Justification for using audio and visual material from minors or deceased participants.

Details of the strategy you will implement if you observe any adverse incidents (e.g. racist or sexual abuse, human trafficking, terrorism).

Misuse

This means disclosing data that may endanger the safety of participants, family, friends or associates.

Act as follows:

- when publishing or disseminating findings, take into account possible negative consequences for participants (stigmatisation, discrimination, intimidation, xenophobic practices)
- do not disclose information that may lead to criminalisation, incite racism or jeopardise participants' social assimilation
- your research should not influence resettlement and relocation procedures or status determination procedures



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- since your findings on participants could impact their wellbeing and be misused in public or political dialogue, be sensitive to wording. Use terms and apply methods accurately and precisely, to avoid misuse or intentional misinterpretation of your findings
- pay particular attention to the use of official statistics (approximate numbers) and how they are interpreted
- formulate a specific policy on publishing incidental findings

What to include in your ethics self-assessment

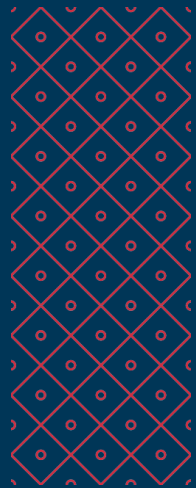
A detailed description of the precautions you will take to prevent disclosure of such information.

Confirm you will report to the authorities any emerging information in your research that might lead to threats or endanger the safety and wellbeing of others.



Použité materiály – znevýhodněné skupiny

- https://eige.europa.eu/publications-resources/thesaurus/terms/1175?language_content_entity=en
- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/guidance-note-research-on-refugees-asylum-seekers-migrants_he_en.pdf



Specifika etiky ve společenskovedním a humanitním výzkumu (SSH)



SSH a etika

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Použité materiály - SSH

- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/ethics-in-social-science-and-humanities_he_en.pdf
- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/research-ethics-in-ethnography-anthropology_he_en.pdf



AI a bezpečnost

- https://research-and-innovation.ec.europa.eu/news/all-research-and-innovation-news/guidelines-responsible-use-generative-ai-research-developed-european-research-area-forum-2024-03-20_en
- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/classification-of-information-in-he-projects_he_en.pdf
- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/common/guidance/how-to-handle-security-sensitive-projects_en.pdf
- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/guidance-note-research-focusing-exclusively-on-civil-applications_he_en.pdf

Etika a integrita obecně



- https://ec.europa.eu/info/funding-tenders/opportunities/docs/2021-2027/horizon/guidance/guidelines-on-serious-and-complex-cases_he_en.pdf
- https://www.dzs.cz/sites/default/files/2021-04/15.4.2021%20-%20IGLO%20IMPL_General-Ethics-Appraisal-HE.pdf
- <https://www.horizontevropa.cz/cs/aktuality/yiifnews/2627>
- <https://allea.org/code-of-conduct/>



Děkuji za pozornost!

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