Faculty of Social Sciences, Eötvös Loránd University

Regulations on research integrity, research ethics and data processing

1. Preamble

Researchers of the Faculty of Social Sciences at ELTE, including all university citizens who lead or participate in research, accept and apply the Singapore Declaration on Research Integrity, the principles and guidelines of the Hong Kong Principles and the European Code of Conduct for Research Integrity, as well as the ethical and research integrity recommendations of European and Hungarian professional organisations, apply and comply with the 27 April 2016 (EU) 2016/679 European Convention Regulation of the Parliament and of the Council (General Data Protection Regulation, GDPR).

2. Definitions

Research: an activity aimed at cognition, acquiring new knowledge, developing or verifying theories.

Research participant: a person directly affected by the research, whose observation or the collection of whose data occurs in connection with the research.

Lead researcher: a researcher with a PhD degree who is qualified to conduct independent research and to supervise the work of other unqualified, subordinate researchers.

Head of research: a person whose position is defined on the basis of a documented research project with a leading role in and responsibility for that project. A head of research can only be a qualified (PhD) researcher. The head of research is also, in most cases, given this role by a support grant, but research activities can also be carried out without a grant. In exceptional cases, an unqualified researcher may also conduct individual research, but in this case, the head of the department shall appoint a qualified (PhD) supervisor to monitor the research.

Supervisor: a person whose position is defined in connection with the PhD training, who is supporting the scientific activities of a PhD student.

Thesis supervisor: the lecturer-researcher supervising the thesis-writing work. The supervisor of the thesis shall, if possible, have a PhD degree. If the program director permits an unqualified instructor to supervise the thesis, the final responsibility of the research carried out in connection with the thesis lies with the program director.

Workshop supervisor: the supervisor of the workshop is a lecturer with an MA, MSc or MD degree. If the workshop supervisor does not have a PhD degree, the ultimate responsibility for the research lies with the researcher who has a degree and who has appointed the workshop supervisor. The supervision of the workshop as defined herein and its monitoring lie within the scope of authority of the head of the department/institute/centre.

Research group: a team organized to examine one or more topics, led by the researcher responsible for the work of the research group (research group leader). A research group may include several lead researchers.

Subordinate/participant researcher: a member of a research group as a researcher.

Contributor to the research: a natural person who participates in the realisation of the research under the direction of the head of research.

Publication (scientific communication): publication of research results in oral (lecture) or in written form (publications in different genres of scientific writing).

Personal data: any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. (Art. 4 GDPR)

Special data: personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation shall be prohibited. (Art. 9 GDPR)

Consent: consent of the data subject means any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her. (11, Art. 4 GDPR)

Data processing: any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction. (Art. 4 GDPR)

Controller: the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law. (Art. 4 GDPR)

Research data: any data, database or information no longer including personal data in connection with the research.

Data management: any act carried out in connection with the research data, especially their transmission, storage and adding metadata to them.

3. Principles of research integrity and data processing

3.1. Research integrity and research ethics

3.1.1. Principles

In the course of the research, researchers shall aspire to **honesty**, that is to say, they have to accurately report about the process, take alternative opinions into account, refrain from unfounded statements and statements making things seem better or worse than they actually are.

Researchers shall act **conscientiously** during the research, they shall employ methods appropriate to the rules of their profession and proceed in the most careful way when planning the research, carrying it out, as well as presenting and disseminating its results.

Researchers shall aspire to **transparency**, namely they shall make it clear what data the research results are based on, how they were created and what interests played a part in the research.

Researchers shall maintain their **independence**, they shall exclude all interferences that come from non-scientific areas, such as actors of the political or business sector, in the course of choosing methods, collecting data and wording communications. At the same time, they shall reject any attempts of influencing from scientific fields that do not follow the rules of scientific reasoning.

Researchers shall **take responsibility** for their research and its publication; they shall take other concerned parties' interests into consideration (as long as it does not contradict the principle of independence) and also consider what kind of research can be regarded as relevant from the scientific and societal point of view.

3.1.2. The researcher's responsibility

Every research is led by a responsible person. The head of research is responsible for the scientific integrity of the research, the processing of personal data, the realisation of the research and the presentation of the findings to the public. At the same time, participants in the research may be held responsible if they do not know or follow the rules and norms pertaining to them and the instructions of the head of research.

3.1.3. Factors affecting the research participants

During the research, the everyday life and operation of the examined community should be respected. When planning the research, it should be assessed what kind of effect the research itself and its results may have on the community in question, and the social benefits and risks should also be weighed. If the research participants are children, the possible effects of the research should be examined especially thoroughly. In such cases, it is advisable, and in several institutions even required, to ask for the consent of parents or guardians even if personal data are not processed, but they at least have to be informed about the prospective research and provided with the possibility of obtaining detailed information. If personal data are processed, the consent of the guardians must be requested.

The research participants can only be requested to provide information if they have been properly informed, and they have given their consent. Special attention shall be paid to that, if necessary, the

members of groups in need of assistance to make their decisions receive help in excess of what is determined by law. If the research participants receive the care of the researcher or a collaborator in the research, special care shall be taken to ensure that those who receive the care take part in the research voluntarily, and that the conditions of the research make it clear that neither the given persons' participation in or absence from the research, nor the information collected during the research will in any way influence their access to the care.

3.1.4. Dangers affecting the researchers and contributors

When planning the research, it is necessary to assess the possible dangers that may affect the researchers and contributors, and precautions shall be taken to avoid these dangers. The research contributors shall be prepared for the handling of potentially dangerous situations and provided with the necessary support as well as freedom of choice.

3.1.5. Conflict of interest

Potential conflicts of interest and their effects shall be examined in each research. It is possible that some specific result is in the interest of the person financing the research. It is also possible that certain results are in the interest of partners or authorities involved in the research. The research participants may also have such interests. It is the researcher's job to act in such cases noncommittally, informing the involved people about the different interests and to take their possible effects into account.

3.1.6. Scientific fraud

The researcher shall, in every instance, avoid the manipulation of empirical data (not including the appropriate and documented processing of occasional data errors or extreme values). Disregarding part of the data, hiding effects contradictory to the expected results and concealing the lack of correlations are considered as manipulation of data. One-sided presentation of empirical data and the use of deceptive or misleading figures shall also be avoided. The modification of the finished research documentation is considered as scientific fraud, unless it aims at recording previously unknown facts, but in that case, the act of modification should be indicated.

3.1.7. Plagiarism and self-citation

Researchers can only publish their own research findings in their own name. If they cite the findings of other researchers in their publication, they can only do it by following the rules of scientific citation. The same applies to the researchers' own, previously published works.

3.1.8. Intellectual property rights

Researchers shall respect others' intellectual properties such as, among others, research tools, research ideas and patents. The right of intellectual property created during the research should be settled in the planning phase of the research, if possible, with the conclusion of an agreement.

3.1.9. Authorship

The presentation of the research results in oral or written form is considered a publication. In the list of authors, the authors, their titles and affiliations should be indicated. Full-time researchers, lecturers and doctoral students of the Faculty of Social Sciences are obligated to indicate the Faculty of Social Sciences, ELTE as their affiliation. Technical, financial and other non-scientific contribution does not result in authorship. Contributors not meeting the criteria of authorship should be mentioned in the publication.

3.2. Data processing and data management

During research, special care should be taken to ensure the appropriate processing of data.

3.2.1. Principles of data protection

Research in social sciences is often based on personal data. All data on whose basis a natural person is identifiable, or which can be connected to such data, should be considered personal. During the research, the Hungarian and European regulations concerning the processing of personal data should be complied with, especially the Data Protection, Data Safety and Data Control Regulations of Eötvös Loránd University, which should be reviewed in connection with every research. During the research, the principles of GDPR should be employed, which are lawfulness, fairness and transparency, purpose limitation, data minimisation, accuracy, storage limitation, integrity and confidentiality. The controller shall be responsible for compliance with the principles of GDPR and be able to demonstrate this compliance ('accountability'). (Art. 5 GDPR)

When processing personal data, the following aspects shall be applied:

1. During the entire course of the research procedure, special attention shall be paid to the protection of personal data. The act of instruction about the rules of data protection and data security shall be recoded in a minutes to be signed by the contributors as well as the head of research (cf. Annex: Statement of research integrity).
2. When planning the research, the purpose of processing personal data and, in connection with it, the scope of personal data to be processed shall be accurately defined (adequate, relevant and limited to what is necessary in relation to the purposes of the research).
3. It is necessary to ensure the enforcement of the rights of the data subjects. The regulations on the rights of data subjects and the enforcement of these rights, in particular but not exclusively the revocation of consent given to data processing, the right to access the processed personal data, the objection against decisions based on automatised data processing (such as profiling[1]) should be reviewed. A decision based on automatised data processing with legal consequences is, for example, the automatic rejection of an online application for loan or online human resource recruitment carried out without human intervention. The possibility of the simplest possible way of exercising the aforementioned rights shall be provided for all data subjects, and they shall also be informed about the means of exercising those rights.

[1] 'profiling' means any form of automated processing of personal data consisting of the use of personal data to evaluate certain personal aspects relating to a natural person, in particular to analyse or predict aspects concerning that natural person's performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements; (4. Art. 4 GDPR)

4. During the research, the data subjects shall receive adequate information in advance, and generally their consent should be requested for the processing of their personal data. In the course of the research, the enforcement of the right of informational self-determination (connected to the protection to personal data) shall be provided. The Privacy notice of Eötvös Loránd University is available at https://adatvedelem.elte.hu/tajekoztatok-sablonok.
5. It is often not possible to fully identify the purpose of personal data processing for scientific research purposes at the time of data collection. Therefore, data subjects should be allowed to give their consent to certain areas of scientific research in keeping with recognised ethical standards for scientific research. Data subjects should have the opportunity to give their consent only to certain areas of research or parts of research projects to the extent allowed by the intended purpose. (Preamble 33 GDPR)
6. The processing of personal data without the preliminary consent of data subjects can be lawful if processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party, except where such interests are overridden by the interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child. (Art. 6 (f) GDPR) This paragraph can be used especially when informing the data subject proves to be impossible or would require disproportionately great effort. This situation may occur especially when the data processing serves the purpose of archiving for public interest, scientific and historical research or statistical data collection. In this respect, the number of data subjects, the age of the data and the accepted appropriate guarantees shall be taken into consideration.
7. Specific protection of children's data: If, during the research, personal data of children are processed, under the age of 14 years the legal representative (parent or guardian) can give consent on behalf of the child. If the child is older than 14 years but younger than 18, the child's consent to the processing of personal data is only valid with the signature of the legal representative (parent or guardian).
8. By coupling information from registries, researchers can obtain new knowledge of great value (...). On the basis of registries, research results can be enhanced, as they draw on a larger population. Within social science, research based on registries enables researchers to obtain essential knowledge about the long-term correlation of a number of social conditions such as unemployment and education with other life conditions. Research results obtained through registries provide solid, high-quality knowledge which can provide the basis for the formulation and implementation of knowledge-based policy, improve the quality of life for a number of people and improve the efficiency of social services. In order to facilitate scientific research, personal data can be processed for scientific research purposes, subject to appropriate conditions and safeguards set out in Union or Member State law. (Preamble (157) GDPR)
9. The duration of the processing of personal data should be planned in advance. The processing of personal data should be terminated immediately when the research no longer necessitates it. The processing of personal data is terminated by their definitive and irrevocable destruction. The destruction of personal data should be documented in a minutes.
10. Data protection incident: A breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of or access to transmitted, stored or otherwise processed personal data. This includes, among other issues, when someone accesses the data without proper authorisation, data fishing, losing a tool or having it stolen, the cracking of an information system, unauthorised oral disclosure of personal data, unlawful disclosure of personal data in front of the public or sending personal data to an incorrect recipient. The data protection incident should be reported to the data protection officer of

ELTE (the necessary form can be found at the website of the responsible department of the university (https://adatvedelem.elte.hu/incidens).

When preparing the research, a Data processing plan should be made (see in Annex), which contains the legal basis of data processing, the scope of the processed personal data, the means of data processing and the measures to be taken towards the protection of personal data. With issues concerning the processing of personal data researchers can turn to the data protection officer of ELTE (adatvedelem@rk.elte.hu).

3.2.2. Transparency and publicity of scientific data

When processing scientific data, the widest possible publicity and transparency shall be provided to ensure integrity and promote scientific development. To enhance transparency, the use of Open Science tools is advised as often as possible.

When planning the processing of data of scientific value, the following directives shall be observed.

A preliminary description should be made about what kind of data of scientific value will be collected during the research. The concept of data shall be interpreted in the wider sense, extending it, besides quantitative data, on data resulting from qualitative research as well as photographs, films and data collected from the internet.

Data already available in the topic of research shall be disclosed, and it should be written down why they are not suitable to answer the research question. That makes the value of the planned research and the necessity of data collection clear.

The format of the data to be disseminated and archived shall be planned.

It shall be planned, what kind of metadata will be recorded besides the created and collected research data to help the persons who later access the data with their more accurate understanding.

It shall be planned, where and how the collected data will be stored. The best practice of data storing is the multiple storing of (anonymised) data at different places.

It shall be made clear, who takes responsibility for the handling of data throughout the entire data cycle.

It shall be recorded, who possesses the title of data to be created and other products of intellectual property, such as developed scales.

It shall be planned, in what form, what scope and where the research data will be made available.

It shall be planned, from what resource the expenses of the publicization and archiving of data will be covered.

The data processing plan is a continuously changing, “live” document. If the type of data or the procedure of data processing, the storing or publicization of the data change, the document shall be updated. A statement of consent to data processing given to a certain purpose shall be repeatedly requested when the purpose of data processing changes.

4. Organisation

For the discussion of issues of research integrity and research ethics the Faculty creates the Research Integrity, Research Ethics and Data Processing Committee (henceforth, Committee).

4.1. Research Integrity, Research Ethics and Data Processing Committee

The Committee has a chair and five members, one of the members should be a regular member of the Doctoral School of Sociology.. A secretary assists the Committee in its work. The Head of Némedi Dénes Library is a permanent invited member of the Committee.

4.1.1. Members

The members of the Committee are nominated by the institutes of the Faculty and the Students' Union. Institute nominees can be persons with a doctoral degree or doctoral candidates , while the nominee of the Students' Union must have a student status. The members are elected by the Faculty Council by secret ballot. Every member of the Faculty Council can cast their ballots for five nominees. The Committee members' mandate lasts for four years. On the first occasion, the mandate of the two members of the Committee with the least ballots expires after two years. After that, the Faculty Council elects the new members nominated by the institutes of the Faculty and the Students' Union to replace the members with the expired mandates every second year. All members of the Faculty Council can cast ballots, whose number should correspond to the number of members with expiring mandates.

The members of the Committee evaluate the issues the chair assigns to them, participate at the Committee meetings and make decisions in the Committee's procedures.

The members of the Committee receive remuneration in proportion to the number of the ethical approval procedures they conduct.

4.1.2. Chair

The chair of the Committee is appointed, on the Faculty Council's recommendation, by the dean. The chair of the Committee is a lecturer with habilitation and extensive research experience. The mandate of the chair lasts six years. The chair summons and leads the Committee meetings, instructs the secretariat of the Committee, distributes the submitted issues among the members of the Committee including him- or herself.

4.1.3. Committee proceedings

The Committee creates its own proceedings taking the policy defined in this document into account, and it must be approved by the Faculty Council. The Committee has regular, monthly meetings. The Committee has quorum if three members are present at the meeting. The Committee meetings can be held with remote access.

4.1.4. Supervision

The operation of the Committee is supervised by the Faculty Council. The Committee creates an annual report until June 15 each year. The Faculty Council votes on the acceptance of the report. With qualified majority, he Faculty Council can terminate the duties of the Committee members and can also terminate the duty of the chair of the Committee concurrently recommending a new chair.

4.2. Research Integrity, Research Ethics and Data Processing Secretariat

The Committee's work is assisted by the Secretariat, which carries out administrative duties in connection with the operation of the Committee.

5. Procedures

5.1. Ethical approval

The ethical approval procedure carries out the ethical and integrity examination of research projects before their commencement. The procedure examines if the research is in accordance with the principles detailed in Point 3 of this document.

5.1.1. Persons subject to the procedure

An ethical approval shall be requested by every head of research

- who is a full-time or part-time lecturer, researcher, or a doctoral student at the Faculty and
- in the realisation of the research, a significant amount of the Faculty's resources are used or
- the researcher pursues the research in the name of the Faculty (e.g., they applied for the resources as a researcher of the Faculty)

and the research

- exerts direct influence on the research participants (influencing their everyday life, endangers them or their private lives)
- puts the researchers and the employees carrying out the research in danger
- within its scope, a conflict of several different interests occurs requiring careful handling
- Involves interests in conflict with the data subjects' interests
- involves the processing of personal data.

The obtainment of the Ethical approval is not mandatory in the following cases:

- owing to the topic of the research or the affiliation of the researcher, some other Hungarian or international board of research ethics has given an ethical approval
- the research solely involves secondary analysis of anonymized data, where the disclosure of identities is impossible
- the research is solely based on the analysis of public data (publications, public sources)
- the research is carried out for a bachelor's or master's thesis, or it is pursued within the framework of research– or project classes of workshops or other courses, but in these cases the students participating in the research shall sign a Statement of research integrity (cf. Annex) if the conditions in the previous two points are met. The responsible thesis supervisor or lecturer shall keep the signed statements until the end of the examination period following the end of the research or, if it lasts longer, until the end of the processing of personal data, then they shall make sure that the statements are destroyed. In the case of a thesis, if the thesis is not classified, the author shall make a statement about whether the thesis can be partly or fully disclosed.
- the research is carried out within a research scholarship (National Scientific Students' Associations Conference, New National Excellence Program etc), during a bachelor's or master's training, and the obtainment of an Ethical approval is not required in the process. In these cases, however, a Statement of research integrity is necessary to be signed and kept until the end of the semester following the end of the scholarship or competition (including

the fiscal audit period) or, if it lasts longer, until the end of the processing of personal data, and then destroyed.

The head of any research in which a full-time or part-time lecturer or researcher at the Faculty participates can apply for an Ethical approval from the Dean of the Faculty even if the research itself is not hosted (registered) at the Faculty. For the application, the substantive participation of the faculty member, recognized also by Faculty affiliation, must be supported by documents. The Dean of the Faculty may also impose a procedural fee. The amount of the procedural fee is determined annually in the dean's order. Any research that is carried out independently without support is exempt from the costs of the procedure.

The ethical approval procedure is concerned with scientific research, therefore those collections of data that aim at individual care and learning connected to it (such as interviews made during social work) are not included here. At the same time, the ethical principles and rules of data protection shall also be employed in the case of these interviews. If, however, the data collected for the above-mentioned individual care will later comprise part of a scientific research, the ethical approval procedure shall be carried out.

5.1.2. The procedure

In the ethical approval procedure, it is always the head of research who submits the Research integrity application form (see Annex) and its attachments addressed to the chair of the Committee in electronic form with a digital signature at least 10 working days before the next meeting of the Committee.

The Research integrity application form and its attachments sent to the Committee are formally checked by the Secretariat. In the case of formal deficiencies, the Secretariat requests the head of research to submit the missing elements. Formally appropriate research integrity application forms are supplied with the Faculty registration number of the research, in the ELTE/TÁTK/KEAB/ *[year of submission]/ [sequential number]* format, where the *[sequential number]* is a three-digit number starting with zeros.

The chair of the Committee assigns the formally appropriate research integrity application forms received at least 10 working days before the next meeting of the Committee to the Committee members. The assigned forms are evaluated in a written form by the appointed member of the Committee before the next meeting (research integrity evaluation form, cf. Annex). The evaluation includes the recommended decision, possible risks and the explanation of the decision.

At the meeting, based on the evaluations, the committee makes a decision with a simple majority. A minority report can be formulated in the case of split view.

After the decision

- If the application is accepted, the Committee issues an ethical approval equipped with a registration number, which corresponds to a research integrity evaluation form modified by the Committee's decision.
- If the application is rejected, the Committee gives written information to the applicant with guidance towards a later successful application.

The issued Ethical approvals are recorded in the Committee's registry. In the case of research with affiliation to the Faculty, the Committee informs the faculty Library, which supports researchers in their data management activities, about the issued Ethical approvals.

5.2. Ethical examination

The purpose of the ethical examination is the examination of ethical or integrity-related problems occurring in ongoing or finished research projects and, if justified, making suggestions to handle the problems that have arisen. The examination specifically aims at ensuring the scientific integrity of research projects. The disciplinary consequences of potentially occurring breaches of the ethical principles are dealt with by the Faculty Ethics Committee.

5.2.1. Research projects to which the procedure applies

The Committee is obligated to initiate an ethical examination based on reports related to research projects lead by full-time or part-time researchers or lecturers of the Faculty of Social Sciences, ELTE (mandatory procedure).

On request, the Committee my examine any research in the field of social sciences (optional procedure).

5.2.2. The procedure

Anybody can initiate the Ethical procedure by filling in the ethical examination application form (cf. Annex).

The ethical examination application form and its attachments received by the Committee are formally checked by the Secretariat. In the case of formal deficiencies, the Secretariat requests the applicant to submit the missing elements.

In the case of **mandatory procedures** and if the ethical examination application form is formally appropriate, the chair of the Committee requests the head of research to submit the documentation of the given research. The head of research has 5 working days to hand over the documentation. The ethical examination application form (and, in the case of mandatory procedures, the research documentation) received at least 5 working days prior to the meeting of the Committee is assigned by the chair of the Committee to two members for parallel evaluation.

The two appointed members of the Committee evaluate the forms in a written form until the next meeting of the Committee. The evaluation includes the assessment of the problem, possible questions for the head of research and, if necessary, suggested steps of correction (such as a corrective statement, withdrawal of publication etc.).

In the case of an **optional procedure**, the Committee decides, at its first meeting, on whether to include the received issue in its agenda. If the Committee decides with simple majority to include the issue in the agenda, the Secretariat requests the head of research to submit the research documentation like in the case of mandatory procedures. In an optional procedure, the head of research cannot be obligated to hand in the documentation. If the head of research does not co-operate with the Committee in an optional procedure, the chair of the Committee informs the applicant about this fact in writing and closes the procedure. If the head of research co-operates in the procedure, the procedure goes on according to the regular practice based on the research documentation and with the preliminary evaluation of the ethical examination application form.

The committee invites the applicant and the head of research to the **ethical examination hearing** on its agenda (the applicant is not obligated to be present). The Committee sends the preliminary evaluation to the head of research. During the ethical examination hearing, the two independent evaluators review the case, then the applicant and the head of research present their points of view. The Committee makes a unanimous statement. If the Committee is unable to make a unanimous statement, the case may once be postponed.

The Committee informs the applicant and the head of research about its decision in writing. If the decision indicates a breach of research integrity, the Committee informs the leadership of the Faculty and the Faculty Ethics Committee.

6. Literature

The European Code of Conduct for Research Integrity (Internet: https://allea.org/code-of-conduct/ Last download: May 20, 2021)

Research Ethics Committee, Faculty of Pedagogy and Psychology, ELTE (Internet: https://ppk.elte.hu/en/research-ethics-committee Last download: May 20, 2021)

Ethical Guidelines. European Sociological Association (Internet: https://www.europeansociology.org/about-esa/governance/ethical-guidelines Last download: May 20, 2021)

Guide to Social Science Data Preparation and Archiving. Best Practice Throughout the Data Life Cycle. 6th Edition. Inter-university Consortium for Political and Social Research (Internet: https://www.icpsr.umich.edu/web/pages/deposit/guide/ Last download: May 20, 2021)

Hong Kong Principles (Internet: https://wcrif.org/guidance/hong-kong-principles Last download: May 20, 2021)

Netherlands Code of Conduct for Research Integrity (2018).

Singapore Statement on Research Integrity (Internet: https://wcrif.org/singapore-statement Last download: May 20, 2021)

7. Annex

7.1. Statement of research integrity

We are familiar with the data processing plan of the research entitled ***[title of research]*** and are going to proceed according to its contents. We commit ourselves to keeping the personal data processed in the research in secret, will handle them hidden from the public, will make no copies of them in any ways and will not use them in any other ways than what is stipulated in the data processing plan. After our job is finished, we will return the personal data of the research to the head of research.

We understand that who commits the acts listed below, commits the criminal act of breaching the data protection and data processing act or the provisions stipulated in the mandatory legal act of the European Union:

a) process personal data for profit, severely harming the interest of others, unlawfully or for other than legitimate purposes, or

b) fails to take the measures to ensure the protection of the data for profit or by this failure causes severe harm to the interest of others,

c) fails to fulfil their commitments concerning supplying the necessary information to ensure that any concerned persons may exercise their right of access, whereby they severely harm the interest of others. This may entail a payment obligation in a civil proceeding.

[place], [day]. [month] [year].

Research participants:

Name (printed)	Neptun ID	Role	Signature

(extendable if necessary)

Head of research / lecturer

7.2. Research integrity application form

Research registration no. (filled by the Ethics Committee):	ELTE/TÁTK/KEAB/

The application can ONLY be submitted electronically, in Word format

Please read the instructions on the last page carefully.

Please attach the annexes to the submitted document.

1.	**The applicant's (head of research) name:**[2]	
2.	Academic rank:	
3.	Place of work (Faculty/Institute/Department):	
4.	Position: public servant at ELTE yes/no[3]	
5.	E-mail address:	
6.	Title of the research:	
7.	The field(s) of research:	
8.	Other researchers participating in the research (e.g., student):	
9.	Expected date of the beginning and end of the research:	
10.	Financial resource of the research (research grant or other):	
11.	Submission date of the application:	
12.	Purpose of research (min. 100, max. 200 words):	
13.	Age of the research participants:	

[2]The head of research must have an academic qualification (DSc, PhD, CSc).

[3] If not a public servant at ELTE, by filling in the Research integrity application form you give your consent to the processing of your personal data in the application form by the Research Integrity, Research Ethics and Data Processing Committee.

14.	The form of approval depends on the age of the research participants. Please underline, which documents you are attaching:	If the participant is a **child under the age of 3 years**, the research shall be explained in a written form to the legal representative (typically the parent, henceforth: the *parent*), and they can give their consent by their signature on behalf of the child. Please attach to the ethical application form the document describing the research and the approval request form. If the analysis or recruitment is carried out in an institution (typically: in a nursery school), the ethical approval is only valid together with written consent of the head of the institution. If the examined person is a **child between 3-14 years of age**, the parent gives their consent as above, and the child gives it orally. Please attach the document intended for the parent, the request form and the oral or written information intended for the child. If the analysis or recruitment is carried out in an institution (typically: a kindergarten or school), the ethical approval is only valid together with the written consent of the head of the institution. If the examined person is under-age, between 14-18 years of age, the information shall be given to them and also to the parent, and they both shall sign the consent. If the child's name is not recorded in the research, and, on the basis of the Committee's evaluation, the research does not endanger the participants, the passive consent of the parent is sufficient (their consent can be inferred if they do not file an objection against their child's participation). Please attach the documents listed above (the description of the research and the consent). If the research or recruitment is carried out in an institution (typically: a school), the ethical approval is only valid together with the written consent of the head of the institution. If the research participants are **over 18 years of age**, written information shall be given to them about the research and its purposes, and they shall give their consent to the participation. Please attach the documents listed above.
15.	Means of selecting the research participants. (How do you intend to recruit and select the participants?) (If necessary, please attach the relevant documentation: advertisement, letter to the head of institution etc.)	
16.	Locations of the research (if relevant):	

17.	Brief (max. 200 words) introduction into the research methods. (The planned procedure should be described rather than the theoretic background.)	
18.	Is there a conflict of interest between different institutions or groups? Which are they? How do you intend to handle these conflicts during the research and its publication?	
19.	Will the data collected during the research enable the identification of the participants? Do you plan to collect personal data?	
20.	What kind of ready-made questionnaires, tests and other measuring tools do you want to use (if any)? Please attach the questionnaires and tests to the application, include the link of online questionnaires, and mention the ethically relevant factors related to the development of measuring tools.	
21.	What appliances, instruments and scripts do you intend to use? Please attach their documentation (unless they have been approved in an earlier approval procedure.)	
22.	Please describe how you intend to ensure the short- and long-time processing and archiving of the data and how you ensure that they will not allow the identification of participants. Also, if you process personal data (name, e-mail address), how will you protect those data?	

23.	Please describe how you intend to inform the community concerned about the results of the research.	
24.	Please describe how you are going to publish the research results. Please include the Open Science solutions.	
25.	Please describe what tools you intend to use to ensure the integrity of the research. E.g., hypotheses, research proposal's preliminary registration (e.g., https://osf.io)	
26.	Please describe how you plan to archive the anonymized or anonymous data and the research documentation. Who will be able to access the data and documentation and in what way? Please include the Open Science solutions.	

A YES answer given to any of the questions below does not make the realisation of the research impossible. Please underline the appropriate answer.				If your answer to any of the questions is YES, please describe how you make sure that no bodily or psychological harm is done to any persons or groups during the research.
27.	Will the research create any unpleasant situations?	NO	YES	
28.	Will the research include the use of incentives or gifts?	NO	YES	
29.	Will the research involve disabled people?	NO	YES	
30.	Will the research involve mental patients or people at risk of developing a mental illness?	NO	YES	
31.	Will the research involve the participation of members of social minorities (or any other vulnerable groups)?	NO	YES	
32.	Will the research involve the risk of injury to the contributors or participants?	NO	YES	
33.	Will the research involve the deception of the participants or the partial concealment of its purpose?	NO	YES	
34.	Will the research involve a procedure that may, even involuntarily, cause anxiety or suffering (e.g., in-depth interviews)?	NO	YES	

Special cases (Please fill in only if the questions below are RELEVANT from the point of view of the planned research. If the questions are not relevant, please use the N/A option.

35.	**If the preliminary consent of the data subjects is difficult to obtain** (e.g., research at public places), how will you ensure the participants' protection, their retrospective or continuous information and involvement, and how do you justify the absence of preliminary information?	
36.	If the research **does not directly affect any persons** (e.g., analysis of documents, historical or archival research or the research of public spaces) **but there are some persons directly affected** by the research (personal data connected to them), what kind of ethical problems may emerge related to them (the possibility of identification, their right to form an opinion etc.) and how will you respond to them? Also, if there are directly and indirectly affected persons involved, how will you separate them during the research? If the data make the identity of persons possible, the general rules of data processing (cf. Consent to data processing and its Annex) apply.	
37.	**If the research is participatory research or action research**, how will you ensure and in what way do you plan the active involvement of the persons? Please describe what effects the research may exert on the given group or persons involved, and the places or communities it forms. Will the participants have an option to comment on the research results? If they will, how, and if not, why not?	
38.	Will the research **have (indirect) social impacts**? How may these impacts influence the participants (especially if vulnerable social groups are involved)?	
39.	If you also pursue **archival research**, how will you make sure that the personal data are protected during the research and at its publication? During archival research, please take into account the stipulations of section 24 of Act LXVI. of 1995.	
40.	Will the research entail any further ethical concerns that were not mentioned in the answers given to the above questions? If so, please briefly discuss them.	

The research Integrity, Ethics and Data Processing Committee draws the applicants' attention to the following:

The Committee may request the submission of every written document given to the research participants (e.g., recruitment posters, advertisements etc.) **The tests and questionnaires should be attached to the application.**
The data processing plan of the research should be attached to the application.
After finishing the research activities, a brief (8-10 sentences) **research report shall be written**, whose submission the Committee may request. The report should primarily summarise the results but may also contain information on problems occurring during the realisation, which can later be used.
Statement of information and consent: the research participants shall give their preliminary, voluntary and informed (in possession of all relevant information) to their participation. The information shall, in every case, include the right of withdrawal of the consent.
Please do not forget to attach the text of the **recruitment advertisement**, if relevant.
The research shall **start with reading and filling in the Statement of information and consent**. It should also be emphasized in the Statement of information and consent that participation is voluntary and can, at any time, be withdrawn. If the questionnaire is filled in **online**, before filling in the questionnaire, the participants should indicate their consent with a "yes" answer or a check in a box. Without those, it should be made impossible to fill in the questionnaire. Furthermore, please **give the link** of the prospective questionnaire. If possible, please use a website and questionnaire form of ELTE.
If you find a question in the application form non-applicable to your research, please use the N/A option.
If the research is led by a qualified lecturer of the Faculty of Social Sciences, ELTE but the research is (partly or entirely) **carried out outside Hungary**, the approval of the Ethics Committee of the proper authority of the given country is also necessary to obtain.
Please, make a statement about that (1) the Statements of information and consent that include personal data will be stored safely at a person not in direct contact with the participants, (2) the other documents will include identification with passwords only, (3) in what digital format the materials will be stored, (4) for how long and where the raw questionnaires, audio files and processed (digitalised, content-analysed etc) data and Statements of information and consent will be stored.
Should a breach of data protection occur (a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of or access to transmitted, stored or otherwise processed personal data including when someone accesses the data without proper authorisation), please turn to the data protection officer of ELTE immediately. For your kind information, be noted that in the case of such an incident, only 72 hours are available to report it to the National Authority of Data Protection and Freedom of Information (NAIH), therefore contacting the data protection officer should not be delayed. Contact: Office of Data Protection and Strategic Administration, Rector's Cabinet, ELTE/ HU-1053 Budapest, Ferenciek tere 6. Tel.: +36-1-411-6700/2855; Email: adatvedelem@rk.elte.hu

7.3. Research integrity evaluation form

Name of applicant (head of research):		**E-mail address of applicant (head of research):**	
Title of research:			
Ethical risks the research may involve:			
Risks of data processing and data protection the research may involve:			
Ethical and data processing proposal formulated in connection with the research (in the case of rejection, filling in is mandatory):			
Recommendation of decision for the Committee:	**Recommended returning for modification**		**Recommended for acceptance**
Justification of the decision (mandatory):			

7.4. Plan for data processing (sample)

Plan for data processing

For the research entitled

[title of research]

[registration number of research]

A. Protection of personal data

Relevant acts of law, documents and definitions

- REGULATION (EU) 2016/679 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)
- Act CXIX of 1995 on the use of name and address information serving the purposes of research and direct marketing
- Act V of 2013 on the Civil Code
- Act LXXVI of 2014 on scientific research, development and innovation
- Act CCIV of 2011 on National Higher Education
- Act C of 2012 on the Criminal Code

[the validity of the referred acts of law needs reviewing]

Personal data: any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. (Art. 4 GDPR)

Special data: personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation. (Art. 9 GDPR)

Consent: any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her (11, Art. 4 GDPR)

Research participant: a person directly affected by the research, whose observation or the collection of whose data occurs in connection with the research.

Head of research: a person whose position is defined on the basis of a documented research project with a leading role in and responsibility for that project. A head of research can only be a qualified (PhD) researcher. The head of research is also, in most cases, given this role by a support grant, but research activities can also be carried out without a grant. In exceptional cases, an unqualified researcher may also conduct individual research, but in this case the head of the department appoints a qualified (PhD) supervisor to monitor the research.

Contributor to the research: the natural person who participates in the realisation of the research under the direction of the head of research.

Lead researcher: a researcher with a PhD degree who is qualified to conduct independent research and to supervise the work of other unqualified, subordinate researchers.

The above plan for data processing was created on *[date of document]* based on and in accordance with the valid contents of the referred documents.

2. Authorisation of research

Eötvös Loránd University (henceforth: ELTE) as an institution of higher education is, based on Paragraph 1, Section 2 of the National Act on Higher Education (NFTV), an organisation established for the performance of educational, academic research, which shall constitute its core activities, which the founding charter of ELTE records, in accordance with NFTV. The personal responsibility for the research is taken by the head of **[research *⁄ research group*]**.

3. Purpose of research

[brief, simple description of the research]

4. Scope and source of personal data to be processed

[the accurate, brief description of the personal data to be processed including their sources]

5. Responsibility for data processing

[Please indicate who is responsible for the processing of data throughout the entire data cycle. Please also include the responsible person's contact details.]

6. Steps of the research and the procedure of processing personal data

[Detailed description of the steps of realisation of the research and the processing of personal data from the collection of the personal data to their storing; it is necessary in every case to also record the time of destruction of the personal data; it is necessary to include information about the processing of the personal data of all involved (participants and contributors) and also who collect the personal data, if and how they handle them while processing them, and at which point of the research these data are handed over to the head of research (anonymized research data are not necessary to include here).]

7. Securities of the enforceability of the rights of the affected

[Detailed description of the measures ensuring the enforcement of the rights of the affected, whose personal data are processed, especially but not exclusively the measures taken towards the exercising of their rights to withdraw their previously given consent, the correction of data, their access to knowing the stored data and their being informed in connection with any data processing incidents. E.g., means of giving information, channels of communication, responsible persons, proceedings]

8. Technical and administrative measures to ensure data protection

[Detailed description of how the protection of personal data is ensured during the research, such as but not exclusively who may access the personal data, how they document the access, what kind of statements these persons make, what protective measures (information technology or other) are taken to prevent personal data to be accessed by unauthorized people and what procedures of anonymization (or pseudonymization) are employed etc.]

B. Publicity of the research data

9. Description of the research data

[Please describe what kind of data of scientific value are collected or recorded; please understand the concept of data in the broader sense, extending it, besides quantitative data, to data of qualitative research, photographs, films and data collected from the internet.]

10. Presentation of the available data

[Please write a review on the data available in the research topic and on why they are not appropriate for answering the research question. This will make the value of the proposed research and the necessity for data collecting clear.]

11. Format of the data

[Please describe here, in what format the data are submitted, disseminated and archived.]

12. Metadata

[Please summarise here, what kind of metadata you add to the created data to assist the clear understanding of those wo access them.]

13. Storing and safety copies

[Please describe here, where and in what form the collected data will be stored. The best practice is the storing of (anonymized) data at several different places.]

14. Intellectual property and data property

[Please indicate who possesses ownership of the data and other intellectual properties, such as developed scales.]

15. Accessibility and sharing

[Please describe in what form, scope and where you are going to make the research data available.]

16. Costs of data processing

[Please summarize briefly, from what sources you are going to cover the expenses of the publication and archiving of the anonymized data.]

7.5. Ethical examination form

1.	**Name of person initiating the examination procedure:**	
2.	Academic rank:	
3.	Place of work (Faculty/Institute/Department):	
4.	Position: Public servant at ELTE yes/no[4]	
5.	E-mail address:	
6.	Title or research:	
7.	Field(s) of research:	
8.	Head of research:	
9.	Place of work (faculty/Institute/Department):	
10.	Position: Public servant at ELTE yes/no[5]	
11.	Date of submission of the examination form:	
12.	Supposed breach of the norms of ethics/research integrity:	
13.	List of available evidences (please attach them):	

[4] If not a public servant at ELTE, by filling in the Research integrity application form you give your consent to the processing of your personal data in the application form by the Research Integrity, Research Ethics and Data Processing Committee.

[5] If not a public servant at ELTE, by filling in the Research integrity application form you give your consent to the processing of your personal data in the application form by the Research Integrity, Research Ethics and Data Processing Committee.

7.6. Singapore Statement on Research Integrity

Preamble

The value and benefits of research are vitally dependent on the integrity of research. While there can be and are national and disciplinary differences in the way research is organized and conducted, there are also principles and professional responsibilities that are fundamental to the integrity of research wherever it is undertaken.

Principles

Honesty in all aspects of research
Accountability in the conduct of research
Professional courtesy and fairness in working with others
Good stewardship of research on behalf of others

Responsibilities

1. Integrity: Researchers should take responsibility for the trustworthiness of their research.

2. Adherence to Regulations: Researchers should be aware of and adhere to regulations and policies related to research.

3. Research Methods: Researchers should employ appropriate research methods, base conclusions on critical analysis of the evidence and report findings and interpretations fully and objectively.

4. Research Records: Researchers should keep clear, accurate records of all research in ways that will allow verification and replication of their work by others.

5. Research Findings: Researchers should share data and findings openly and promptly, as soon as they have had an opportunity to establish priority and ownership claims.

6. Authorship: Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. Lists of authors should include all those and only those who meet applicable authorship criteria.

7. Publication Acknowledgement: Researchers should acknowledge in publications the names and roles of those who made significant contributions to the research, including writers, funders, sponsors, and others, but do not meet authorship criteria.

8. Peer Review: Researchers should provide fair, prompt and rigorous evaluations and respect confidentiality when reviewing others' work.

9. Conflict of Interest: Researchers should disclose financial and other conflicts of interest that could compromise the trustworthiness of their work in research proposals, publications and public communications as well as in all review activities.

10. Public Communication: Researchers should limit professional comments to their recognized expertise when engaged in public discussions about the application and importance of research findings and clearly distinguish professional comments from opinions based on personal views.

11. Reporting Irresponsible Research Practices: Researchers should report to the appropriate authorities any suspected research misconduct, including fabrication, falsification or plagiarism, and other irresponsible research practices that undermine the trustworthiness of research, such as carelessness, improperly listing authors, failing to report conflicting data, or the use of misleading analytical methods.

12. Responding to Irresponsible Research Practices: Research institutions, as well as journals, professional organizations and agencies that have commitments to research, should have procedures for responding to allegations of misconduct and other irresponsible research practices and for protecting those who report such behavior in good faith. When misconduct or other irresponsible research practice is confirmed, appropriate actions should be taken promptly, including correcting the research record.

13. Research Environments: Research institutions should create and sustain environments that encourage integrity through education, clear policies, and reasonable standards for advancement, while fostering work environments that support research integrity.

14. Societal Considerations: Researchers and research institutions should recognize that they have an ethical obligation to weigh societal benefits against risks inherent in their work.

The Singapore Statement on Research Integrity was developed as part of the 2nd World Conference on Research Integrity, 21-24 July 2010, in Singapore, as a global guide to the responsible conduct of research. It is not a regulatory document and does not represent the official policies of the countries and organizations that funded and/or participated in the Conference. For official policies, guidance, and regulations relating to research integrity, appropriate national bodies and organizations should be consulted.

7.7. Hong Kong Principles

1. assess responsible research practices
2. value complete reporting
3. reward the practice of open science
4. acknowledge a broad range of research activities
5. recognise essential other tasks like peer review and mentoring

7.8. The European Code of Conduct for Research Integrity

See the attached Pdf document.