

ACTIVITY REPORT FOR 2021

1 March 2022 No. TS-13 Vilnius

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INTRODUCTION

The Office of the Ombudsperson for Academic Ethics and Procedures (Office) dedicated the year 2021 to the implementation of the evidence-based initiatives in the field of academic ethics. Compared to the previous period, more attention has been focused on academic ethics in the study process to promote quality assurance. An analytical study, recommendations and meetings with the academic community have been carried out in this respect.

The Office has been actively involved in disseminating the results of its activities to raise awareness of the Office's efforts to promote the establishment of a coherent and effective research ethics infrastructure among Lithuanian research and higher education institutions. In this way, the Office has drawn the attention of the international community to the fact that Lithuanian research and higher education institutions are committed to improving the research quality (especially in the field of research ethics) and are aware of international standards of academic ethics and good scientific practices. The Office has fostered an open and constructive dialogue in the field of academic ethics in cooperation with the academic community.

In the reporting year, significant progress was made in clarifying the concept of academic ethics as enshrined in the Law on Research and Higher Education of the Republic of Lithuania. The aim was to provide a concept of academic ethics that would not only be in line with the prevailing international understanding of academic ethics and the distribution of responsibilities of state institutions operating in Lithuania but would also clearly shape the perception of the academic community of the empowerment of academic ethics, especially the procedures for the proper implementation of academic ethics.

This annual report on the activities of the Office presents the main results of the Office's activities in 2021. This report also sets out the Office's immediate priorities, which have been partially updated to reflect the need to raise awareness among the academic community of the importance of academic ethics in the academic environment and after the revision of the Office's performance.

Loreta Tauginienė
Ombudswoman for Academic Ethics and Procedures

ABBREVIATIONS

ENRIO – European Network of Research Integrity Offices

Ombudsperson – Ombudsperson for Academic Ethics and Procedures

RCL – Research Council of Lithuania

RGP – Researcher Groups project

RHE – Law on Research and Higher Education of the Republic of Lithuania

RHEI – Research and higher education institution

RPE – Research and publication ethics

Complaint – complaints, reports and investigations initiated by the Ombudsperson

Office – Office of the Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania

Office employees – civil servants, career civil servants and employment contract staff

Government Programme – Eighteenth Government Programme of the Republic of Lithuania

Plan for the implementation of the provisions of the Government Programme – Plan for the

implementation of the provisions of the 18th Government Programme of the Republic of Lithuania

Summary

2021 performance indicators (achieved values)

2019	2020	2021
edures		
3	4	2
1	4	1
5	57	58
14	15	19
n.d.*	531**	1135
513	757	1325
9	42	224
and procedure	?S	
n.d.	11	6
n.d.	2	8
nces of the Oj	ffice employees	;
64.5	34	41.6
	sedures 3 1 5 14 n.d.* 513 9 and procedure n.d. n.d. n.d. n.d.	1

^{*} n.d. – no data available.

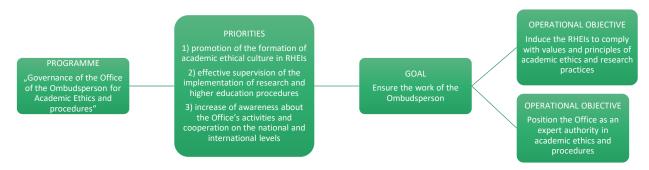
^{**} Only the number of members of the academic community is indicated.

I. IMPLEMENTATION OF THE LONG-TERM PROGRAMME OF THE OFFICE

The *mission* of the Office is to implement the research and higher education policy by safeguarding compliance with values and principles of academic ethics and research practices in the application of national and international practices.

The Office is implementing three priorities of activities: 1) promotion of the formation of academic ethical culture in RHEIs; 2) effective supervision of the implementation of research and higher education procedures; and 3) increase of awareness about the Office's activities and cooperation on the national and international levels. These three priorities of activities are implemented through the Long-Term Programme of the Office "Governance of the Office of the Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania" (Figure 1). This long-term programme aims to fulfil the Office's strategic goal of ensuring the Ombudsperson's work through his investigation of complaints and initiation of investigations into violations of academic ethics and procedures, and by ensuring that academic ethics and procedures are not violated. To achieve this goal, two operational objectives are foreseen for the ongoing activities: 1) to induce the RHEIs to comply with values and principles of academic ethics and research practices; and 2) to position the Office as an expert authority in academic ethics and procedures. The appropriateness of the first operational objective of the ongoing activity (to induce the RHEIs to comply with values and principles of academic ethics and research practices) is consistent with the implementation of the initiative "An environment conducive to excellence in higher education", which is part of the Government Programme's project "Modern, efficient and mission-oriented management of higher education" – to raise the requirements so that the need in academic ethics would be in line with international standards (sub-point 56.3). The relevance of the second operational objective of the ongoing activity (to position the Office as an expert authority in academic ethics and procedures) is in line with the public sector priority set out in the Government Programme – to increase the professionalism, flexibility, innovation, and technology implementation in the public sector, as well as to strengthen responsibility, decision-making and the ability to deal with complex challenges (point 200).

Figure 1. The Office's long-term programme



The tasks of the Ombudsperson's activities are the following: 1) to induce the RHEIs to comply with academic ethics and procedures; 2) to supervise and control, how the RHEIs comply with codes of academic ethics; 3) to cooperate with the RHEIs while solving problems related to violations of academic ethics and procedures; 4) to safeguard effective and confidential investigation of violations of academic ethics and procedures; 5) to supervise and control implementation of international agreements of the Republic of Lithuania, legal acts of the European Union, laws and other legal acts of the Republic of Lithuania that govern academic ethics and procedures; and 6) to contribute to quality of research and higher education while fostering principles of academic responsibility and ethical research practices, and applying preventive measures of plagiarism, unlawful copying or other unlawful use of results of intellectual property created by other persons, falsification, fabrication or manipulation of scientific research data.

Part I of the Office's 2021 Activity Report presents the results of the Office's activities in accordance with its Strategic Action Plan for the years 2021–2023, which has been substantially updated as a result of the amendments to the Law on Strategic Management of the Republic of Lithuania (2021-01-01 – 2021-12-31 edition) and the amendments of the 24 March 2021 Resolution of the Government of the Republic of Lithuania No. 170 "On the Approval of the Plan for the Drafting of the Projects of Financial Indicators of the State and Municipal Budgets for 2022" In this context, it is not possible to provide values for certain product and result indicators and to show their dynamics over the last three years.

Parts II and III of the Office's 2021 Activity Report present the Office's other performance results.

1.1. INDUCEMENT OF RESEARCH AND HIGHER EDUCATION INSTITUTIONS TO COMPLY WITH VALUES AND PRINCIPLES OF ACADEMIC ETHICS AND RESEARCH PRACTICES

2021 result indicator

Academic community competence in the field of research and publication ethics (RPE) (coefficient) – not applicable.

The value of the target indicator is based on the results of the biennial Responsible Research Barometer survey carried out by the Office. Given that the Responsible Research Barometer survey was first conducted in 2020, the value of this indicator will be set in 2022.

Table 1. 2021 product indicators (achieved values)

_	2019	2020	2021			
Education in academic ethics and procedures						
Number of analytical studies by the Office	3	4	2			
Number of thematic guidelines of the Office	1	4	1			
Number of consultations (e.g., frequently asked questions, referrals)	5	57	58			
Number of events on academic ethics for the academic community	14	15	19			
Number of participants in academic ethics events	n.d.*	531**	1135			
Number of downloads of Office's documents (e.g., decisions, guidelines,	513	757	1325			
analytical studies)						
Number of newsletter subscribers	9	42	224			

^{*} n.d. – no data available.

1.1.1. Education in academic ethics and procedures

Analytical studies

The Office has produced two analytical studies¹ (Table 1). The first research report, "The monetary value of research and publication ethics violations: the loss caused by the researcher"², is aimed to increase awareness on the value of *RPE* violations. After assessing the completeness and accuracy of the data for each RGP (e.g., authors not listed, link does not open or is no longer valid), 33 out of 422 RGPs funded by the RCL public budget and implemented in the period 2014–2019 were selected for the study.

^{**} Only the number of members of the academic community is indicated.

¹ Analytical studies are understood as reviews of surveys, research reports, etc.

² Tauginienė, L 2021, *The monetary value of research and publication ethics violations: the loss caused by the researcher*, Office of the Ombudsperson for Academic Ethics and Procedures, Vilnius, accessed 23 December 2021, https://etikostarnyba.lt/wp-content/uploads/2021/06/MTPE-pa%C5%BEeidim%C5%B3-pinigin%C4%97-vert%C4%97-tyr%C4%97jo-sukeliami-nuostoliai.pdf.

The results of this study show that "in terms of authorship contribution to the project, the monetary value of all RGPs publications by researchers varied from EUR 0.8 thousand to EUR 60.3 thousand. The average monetary value of all RGPs publications while assessing by authorship contribution was EUR 21.1 thousand for project leaders (senior researchers) and EUR 20.4 thousand for project leaders (mid-career researchers)." 3 "The average monetary value of all RGPs publications by authorship contribution of junior researchers and researchers was 4 times lower at EUR 5.4 thousand and EUR 6.0 thousand respectively." 4 This difference could be "due to the established practices of research conduct and dissemination in the research field/area and to the different level of expertise of researchers, which is also influencing the hourly rate of work". 5

In addition, the results of this study showed that "98% of researchers had a share of RGP publications higher than their salary share in the project. The question is whether the researchers' disproportionate share of RGP publications in relation to their salary increases the risk of infringing the RPE."⁶

The second research report, "Contract Cheating Services in Lithuania", aims to "find out to what extent and with what characteristics the contract cheating services exist in Lithuania". It should be noted that the provision of contract cheating services is an aggressive form of behaviour for which solutions are being sought on a global scale; in Lithuania, this activity is subject to administrative liability.

The results of this study show that infringements related to contract cheating services are difficult to establish, both because of the difficulties in identifying the persons providing such services and because of the communication strategies used. The report makes recommendations for the academic community and website administrators. The latter were invited to discuss what measures should be taken to restrict the contract cheating services and/or the uploading of advertisements offering consultancy services to relevant websites. Representatives of *alio.lt* and *skelbiu.lt* were interested in the discussion.

The aim was to produce two analytical studies in the reporting year. The information provided shows that the target for this product indicator is fully achieved.

Thematic guidelines

In cooperation with the Office of the Ombudsperson for Equal Opportunities of the Republic of Lithuania, the Office has prepared one guidance document for the academic community –

³ Same source, p. 14, accessed 23 December 2021.

⁴ Same source, p. 14, accessed 23 December 2021.

⁵ Same source, p. 14, accessed 23 December 2021.

⁶ Same source, p. 14, accessed 23 December 2021.

⁷ Vaškevičiūtė, S & Ozolinčiūtė, E 2021, *Contract Cheating Services in Lithuania*, Office of the Ombudsperson for Academic Ethics and Procedures, Vilnius, accessed 23 December 2021, https://etikostarnyba.lt/wp-content/uploads/2021/11/Nesavarankisko-mokslo-ir-studiju-darbu-rengimo-paslaugu-pasiula-Lietuvoje.pdf.

⁸ Same source, p. 5, accessed 23 December 2021.

Guidelines related to Ensuring Academic Ethics and Equal Opportunities in Scientific Events⁹ (Table 1). These guidelines aim to help RHEIs to organise scientific events in line with best practices for organising world-class scientific events. The guidelines refer to the organisation and implementation of scientific events, define criteria for the selection of participants/works, provide recommendations for the submission of relevant information, basic requirements for the protection of personal data and other information relevant to the organisers of scientific events. The working group for the preparation of these guidelines, composed of the Ombudsperson for Academic Ethics and Procedures and the Ombudsperson for Equal Opportunities, includes representatives of the Office of the Inspector of Journalist Ethics of the Republic of Lithuania, the Lithuanian Junior Researchers' Union, Rectors' Conference of Lithuanian University Colleges, Lithuanian University Rectors' Conference, and the Office's representatives.

During the months of January-February 2022, the Office carried out a survey on the implementation of academic ethics measures in the RHEIs ¹⁰, in which 44 out of 54 (81%) institutions participated. According to the results of this survey, "on average, more than two thirds (70%) of the RHEIs surveyed had communicated to their communities in 2021 or planned to communicate in 2022 the <...> Guidelines"¹¹, i.e. the recommendations and guidelines developed by the Office, the Office and the Office of the Equal Opportunities Ombudsperson and the Lithuanian University Rectors' Conference (hereafter referred to as the Guidelines or the Prevention Measures; Table 2). When compared to the amount of awareness of the guidelines, "on average, a third lower proportion of RHEIs surveyed (44%) had transposed or planned to transpose the guidelines into their internal documents during the evaluation period"¹².

Table 2. Monitoring the implementation of prevention measures in RHEIs

Title of the prevention measure	Community awareness (e.g. planned or publicly available on the institution's website or through internal communication)*			Transposition into the institution's internal documents (e.g. guidelines are planned to be transposed or integrated into codes of academic ethics, etc.)*		
	2019	2020	2021	2019	2020	2021
Guidelines for Publication Ethics (2019)	9	46	34	6	20	17
	(18 %)	(92 %)	(77 %)	(12 %)	(41 %)	(39 %)

⁹ Office of the Ombudsperson for Academic Ethics and Procedures, Office Equal Opportunities Ombudsperson 2021, Ensuring Academic Ethics and Equal Opportunities in Scientific Events, Vilnius, accessed 23 December 2021, https://etikostarnyba.lt/wp-content/uploads/2021/06/Akademin%C4%97s-etikos-ir-lygi%C5%B3-galimybi%C5%B3-u%C5%BEtikrinimas-mokslo-renginiuose.pdf>.

¹⁰ Umbrasaitė, J 2022, *Monitoring the implementation of academic ethics measures in research and higher education institutions*, Office of the Ombudsperson for Academic Ethics and Procedures, Vilnius, accessed 24 February 2022, https://etikostarnyba.lt/wp-content/uploads/2022/02/MSI-apklausos-ap%CB%9Bvalga 2022-1.pdf>.

¹¹ Same source, p. 3, accessed 24 February 2022.

¹² Same source, p. 4, accessed 24 February 2022.

Title of the prevention measure	planned c the inst th	nity awarend or publicly av citution's wel rough intern mmunication	ailable on bsite or al	Transposition into the institution's internal documents (e.g. guidelines are planned to be transposed or integrated into codes of academic ethics, etc.)*		
	2019	2020	2021	2019	2020	2021
Guidelines for Recognition of Fictitious	9	46	33	3	12	14
Scientific Events (2019)	(18 %)	(92 %)**	(75 %)	(6 %)	(24 %)	(32 %)
Recommendations on the Preparation,	not	34	24	not	33	32
Adoption and Implementation of Academic	applicable	(68 %)	(55 %)	applicable	(66 %)	(73 %)
Ethics Codes by Lithuanian research and						
higher education institutions (2020)						
Guidelines for Objective and Fair Evaluation	not	45	31	not	14	15
of Group Works (2020)	applicable	(90 %)	(70 %)	applicable	(28 %)	(34 %)
Guidelines for Ensuring Academic Ethics by	not	41	30	not	21	17
Remote Means (2020)	applicable	(82 %)	(68 %)	applicable	(42 %)	(39 %)
Guidelines for Ethical Review (2020)	not	44	30	not	17	24
	applicable	(88 %)	(68 %)	applicable	(34 %)**	(55 %)
Guidelines related to Ensuring Academic	not	not	34	not	not	16
Ethics and Equal Opportunities in the	applicable	applicable	(77 %)	applicable	applicable	(36 %)
Scientific Events (2021)						

^{*} The table shows the number of RHEIs implementing the recommendations and guidelines: N=51 (2019), N=50 (2020) and N=44 (2021).

Looking at trends in the implementation of the Guidelines, it is noted, that "In 2021, compared to 2020, the number of RHEIs that have introduced or plan to introduce the 2019–2020 published Guidelines to their community in the coming year was between a quarter and a third lower (on average 29% lower). The number of RHEIs that have transferred or are planning to transfer the Guidelines for Ensuring Academic Ethics by Remote Means, the Guidelines for Publication Ethics and the Recommendations on the Preparation, Adoption and Implementation of Academic Ethics Codes by Lithuanian Research and Higher Education Institutions has also been decreasing in the comparative period (19%, 15% and 3%, respectively)"¹³. It can be assumed that each RHEI has chosen its own academic pace in establishing provisions to promote academic ethics, given that the guidelines have not been given an implementation deadline. On the other hand, in 2021, compared to 2020, "the number of RHEIs that have transposed or plan to transpose into their internal documents the following guidelines has increased: the Guidelines for Ethical Review (41%), the Guidelines for Recognition of Fictitious Scientific Events (17%), and the Guidelines for Objective and Fair Evaluation of Group Works (7%). Overall, the average number of RHEIs

^{**} Correction: an arithmetical error has occurred in the Office's 2020 Activity Report, i.e., the 2020 data should read 17 (34%) instead of 22 (44%) and 46 (92%) instead of 46 (90%).

¹³ Same source, p. 6, accessed 24 February 2022.

showed little change, increasing by 2%, after taking into account the fluctuations in the number of RHEIs during the transposition of the guidelines."¹⁴

As mentioned above, the Office's guidelines are complemented by another document in 2021, the Guidelines related to Academic Ethics and Equal Opportunities in Scientific Events, developed by the Office and the Office of the Equal Opportunities Ombudsperson. According to the survey results, "as many as 34 RHEIs had introduced or planned to introduce these guidelines to their community in the same year, and 16 RHEIs had transferred or planned to transfer it to their internal documents in 2022". 15

It should be noted that some RHEIs have indicated that they do not apply certain guidelines. For example, according to the survey, "[o]ne university indicated that it does not apply any of the guidelines mentioned in the survey."¹⁶ It can be assumed that the main reason for the non-application of the guidelines is the fact that only two of them – the Guidelines for Ethical Review and the Recommendations on the Preparation, Adoption and Implementation of Academic Ethics Codes by Lithuanian Research and Higher Education Institutions – were publicized only in one foreign language.

The Guidelines for Publication Ethics received the most attention from RHEIs, with 64% of the RHEIs participating in the survey familiarising their academic community with them in 2021. Recommendations on the Preparation, Adoption and Implementation of Academic Ethics Codes by Lithuanian Research and Higher Education Institutions are the most frequently transposed guidelines into the RHEIs' internal documents in 2021 (transposed by 50% of the RHEIs surveyed). In the coming year, RHEIs intend to continue their awareness-raising on relevant guidelines: the most common guidance for RHEIs is the Guidelines related to Academic Ethics and Equal Opportunities in Scientific Events (30% of RHEIs) and Guidelines for Recognition of Fictitious Scientific Events (20% of RHEIs). In 2022, the main focus of RHEIs' efforts is planned to be related to transposing of the Guidelines for Ethical Review (30%) and the Recommendations on the Preparation, Adoption and Implementation of Academic Ethics Codes by Lithuanian Research and Higher Education Institutions (23% of RHEIs). Assumedly, these guidelines are highly relevant to the ethical infrastructure of most RHEIs and to the pursuit of international standards of academic ethics, and that their transposition requires a broad and time-consuming discussion with the academic community.

To provide guidance to the RHEIs on how to adequately ensure the protection of personal data in research (research data) through the implementation of the Guidelines for Ethical Review, the Ombudsperson set up a working group during the reporting year to develop a data management plan template. The working group is composed of representatives of the RCL, the Lithuanian Academy of Sciences, the Lithuanian Scientific Society, the Lithuanian Junior

¹⁴ Same source, p. 6, accessed 24 February 2022.

¹⁵ Same source, p. 8, accessed 24 February 2022.

¹⁶ Same source, p. 4, accessed 24 February 2022.

Researchers' Union, the Rectors' Conference of Lithuanian University Colleges, the Lithuanian University Rectors' Conference, the Office of the Inspector of Journalist Ethics, and representatives of the Office.

During the reporting year, the aim was to develop one set of thematic guidelines. The information provided shows that the target for this product indicator is fully achieved.

Consultations

The number of consultations provided by the Office has remained steady over the last two years. The Office provided 58 consultations during the reporting year (Table 1), of which 76% were to RHEIs and 24% to other stakeholders. The share of the latter increased by 3 percentage points in 2021.

"

RHEIs have contacted the Office on issues of data management, the development of code of academic ethics and ethical review documents, psychological pressure in the academic environment, management of conflicts of interest in the context of science-business cooperation, the use of Soviet symbols in students' theses, and other questions related to academic ethics. As much as 20% of the advice given to RHEIs was

However, positive legislation was also present, for example, the State Data Protection Inspectorate provided methodological assistance to the Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania on the Guidelines for Ethical Review, which were subsequently adopted by the Ombudsperson, and which addressed, inter alia, aspects of the processing of personal data in scientific research.

2020 Overview of the State Data Protection Inspectorate's supervision of personal data protection in Lithuania, p. 52

related to the implementation of the Guidelines for Ethical Review.

Other stakeholders contacted the Office on the use of the project's research data for other publications, the acknowledgement of a non-contributor in the research report, the practice of granting permission for the use of pictures, and other academic ethical issues.

One instance of service help was also provided on the possibilities of investigating an allegation within the Ombudsperson's competence.

The aim was to provide 60 consultations in the reporting year. The information provided shows that this product indicator is partially achieved at 97%.

Events in the field of academic ethics

The Office organised 12 events, 9 of which were dedicated to the academic community: 1 conference, 6 meetings and 2 training sessions. The Office also participated in 10 events initiated by RHEIs. In the reporting year, there was an increased interest in academic ethics among university colleges, with 6 out of 10 events initiated by university colleges. Research institutes with research

and experimental development as their core activity are particularly lacking in their interest in academic ethics.

Over 1 000 members of the academic community and over 110 other stakeholders (e.g., judges and other court staff, gymnasium students, teachers) participated in the events organised by the Office and initiated by RHEIs (Table 1). The 31st presentation by the Office to the academic community was given during 19 events.

Around 160 people attended the annual conference, organised by the Office, named "Ethics in academic environment" to commemorate Global Ethics Day, which focused on academic ethics in the study process. The conference focused in particular on the problems of the contract cheating practice: the conference presented the Office's study reviewing the contract cheating services in Lithuania; together with representatives of the Lithuanian Students' Union, the Vilnius University Students' Union, the Lithuanian Pupils' Union and the Lithuanian branch of "Transparency International", the conference also included a discussion of the problems posed by the contract cheating practice, as well as the possibilities of combating such a practice. In addition, the participants of the conference had the opportunity to get acquainted with the presentations of the Klaipėda State University of Applied Sciences, the Lithuanian Students' Union, and the Vilnius University Students' Union on the students' attitudes towards the contract cheating services and the challenges of the pandemic for the upholding of the academic ethics.

As in previous years, the Office continued its close cooperation with the RHEIs Academic Ethics Committees by organising two meetings with them. In one of the meetings, the Inspector of Journalist Ethics presented the competence of the Office of the Inspector of Journalist Ethics in the field of personal data protection in research; representatives of Kaunas University of Technology and Vytautas Magnus University shared their experience in conducting ethical review; a representative of the Office presented the results of the study "Contract Cheating Services in Lithuania". Participants actively shared institutional experiences.

The National Court Administration organised a seminar on academic ethics, at which the Office gave two presentations. One presentation on violations of academic ethics and foreign case law, the other on the relationship between ethics and law in dealing with violations of academic ethics. More than 30 judges and other court staff took part in the seminar.

The Office joined for the third time the Science Festival "Spaceship Earth" with the workshop "Don't reinvent the wheel! Show me who did it" for pre-university students aged 15 and above. Representatives of two gymnasiums from Kaunas and Jonava participated in these workshops – over 70 pupils and 5 teachers. The Office's representatives informed the pupils about image plagiarism and its consequences, as well as the rules on citation. Students were eager to learn about the ethical use of images in their learning activities. As in the past, the Office's participation in the Science Festival was aimed at explaining to gymnasium pupils in more detail the formation of literacy habits at pre-university level and their implications in higher education.

In the reporting year, two product indicators were sought to achieve: 20 events on academic ethics for the academic community and 650 participants in academic ethics events. The information provided shows that the product indicator "Number of events on academic ethics for the academic community" has been partially achieved at 95% and the product indicator "Number of participants in academic ethics events" has been achieved above the target value by 75 percentage points.

Dissemination

Looking at the number of downloads of the Office's documents from the "Decisions", "Recommendations, Guidelines" and "Analytical Studies" sections of the Office's website, the number of downloads of the Office's documents was 1.8 times higher in the year under review compared to the 2020 figures (Table 1). In particular, the number of downloads of decisions and recommendations and guidelines increased by 86 and 58 percentage points respectively. The number of downloads of analytical studies has remained flat compared to 2020 data.

During the reporting year, the Office made it possible for visitors to the Office's website to subscribe to information on academic ethics and the activities of the Office in two ways: subscription to the Office's website news and subscription to the Office's e-newsletters. The latter were first launched in the year under review. A total of 4 newsletters were published (one in each quarter of the year), which attracted a high level of interest from the academic community and other stakeholders, with a 5.3-fold increase in the number of subscribers in comparison to 2020 (Table 1).

In the reporting year, two product indicators were sought to achieve: 800 downloads of the Office's documents (e.g., decisions, guidelines, analytical studies) and 50 subscribers to the Office's newsletter. The information provided shows that the product indicator "Number of downloads of Office documents (e.g., decisions, guidelines, analytical studies)" was achieved 1.7 times more than the target value and the product indicator "Number of subscribers to the newsletter" 4.5 times more than the target value.

1.2. THE OFFICE AS AN EXPERT BODY IN ACADEMIC ETHICS AND PROCEDURES

Result indicators for the year 2021

Proportion of initiatives (e.g., proposals) on national documents related to quality assurance in research and higher education submitted and adopted – 10%.

The Office has made 9 proposals (3 in 2020 and 6 in 2021) for national documents related to quality assurance in research and higher education.

The Office has submitted 2 proposals on the draft implementation plan for the provisions of the Government Programme in the field of higher education and research, namely on improving the competence of academic staff in the field of academic ethics and on improving the competence of researchers in the field of research ethics. In its proposal, the Office pointed out that the competences of teaching staff should also be improved in the field of academic ethics. In the light of this Office's proposal, the proposed indicator has been included in the sub-point 1.6.7 of the Implementation Plan for the Provisions of the Government Programme, approved by the Government of the Republic of Lithuania on 10 March 2021 by Resolution No. 155 – "Update and implement the guidelines for the improvement of competences of teaching staff at higher education institutions, focusing on continuous improvement of the competences of the academic staff, with a priority on the competences of foreign language, digital competences, academic ethics, and didactics".

In addition, the Office made 4 proposals on the draft Law on Copyright and Related Rights of the Republic of Lithuania – on the use of a work for caricature, parody, or pastiche, for teaching and research purposes, and on the use of copyright, related rights or *sui generis* rights protected material for the extraction of texts and data for research purposes. The draft law has been submitted to the Parliament of the Republic of Lithuania for consideration.

In 2020, the Office, together with the Centre for Quality Assessment in Higher Education, submitted 2 proposals to the Ministry of Education, Science and Sport of the Republic of Lithuania regarding the improvement of the Description of General Requirements for the Studies Organising:

1) to add to the section "Higher education management" the provision that the higher education institution must apply measures for students and teaching staff to understand, implement and improve the "compatibility of study results with the provisions and practices of academic integrity and social responsibility"; 2) to change the sub-point of the section "Teaching staff and material resources", which requires the higher education institution to ensure the development of teaching staff's digital and ethical competences as well as the development of other general competences. Amendments to the Description of General Requirements for the Studies Organising were approved by the Order of the Minister of Education, Science and Sport of the Republic of Lithuania of 15 November 2021 No. V-2069; the Office's suggestions were not taken into account.

In 2020, the Office also sent proposals to four institutions – the RCL, the Agency for Science, Innovation and Technology, the Lithuanian Bioethics Committee and the Ministry of Education, Science and Sport – to include the Guidelines for Ethics Review in their legal acts regulating the funding of research projects, the assessment of research activities and research project applications, the funding of outsourced research etc., and other documents, as appropriate. Two of the four institutions have included a provision on the Guidelines for Ethical Review. The Rules of Procedure of the Research Performance Ethics Commission of the RCL (current consolidated version as of 23 October 2021) state that "the Research Performance Ethics Commission of the Research Council of Lithuania shall be guided by the Law on Research and Higher Education of the

Republic of Lithuania, the European Code of Conduct for Research Integrity (the "Code of Conduct") (European Federation of Academies of Sciences and Humanities, ALLEA), revised 2018 edition), the Regulations of the Research Council of Lithuania (Regulations), approved by the Resolution of the Parliament of the Republic of Lithuania of 22 June 2017 No. XIII-499 "On Approval of the Regulations of the Research Council of Lithuania", the Guidelines for Ethical Review (Guidelines), approved by the Order of the Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania (Ombudsperson) of 10 December 2020 No. V-60 "On Approval of the Guidelines for the Assessment of Compliance with Research Ethics", other relevant legal acts of the Republic of Lithuania and the present Rules of Procedure." The Recommendations on the Observance of Ethical Principles in Non-biomedical Research Involving Human Health, adopted by the Board of the Lithuanian Bioethics Committee, state that "The general principles of research ethics are enshrined in codes of ethics, and are declared, together with other duties of researchers, for example, in the documents of the Research Council of Lithuania²⁶, The Code of Ethics for Researchers of the Lithuanian Academy of Sciences⁴, The European Code of Conduct for Research Integrity²⁷, the Recommendations of the Ombudsperson for Academic Ethics and Procedures on the Preparation, Adoption and Implementation of Academic Ethics Codes by Lithuanian Research and Higher Education Institutions²⁸ and the Guidelines for Ethical Review²⁹, as well as the codes of ethics of Lithuanian universities and institutes where social research is conducted."

It was sought in the reported year for the proportion of initiatives (e.g., proposals) on national documents related to research and higher education quality assurance submitted and adopted would reach 10%. The information provided shows that this result indicator has been achieved 35 percentage points above the target.

The part of invited talks (speeches) in international events – 13%.

During the reporting year, the Office has delivered 8 invited talks, 4 of which were delivered at international events organised by: the European Molecular Biology Organization (EMBO) in collaboration with Vilnius University; ENRIO in collaboration with the European Commission; Çanakkale Onsekiz Mart University (Turkey), the University of Wollongong in Dubai (UAE) in collaboration with the Lithuanian Centre for Social Sciences, and the German Commission for UNESCO. At the international events, the Office: presented the Guidelines for Ethical Review as a significant progress of the state in promoting RPE in the Lithuanian academic community; shared the measures taken in Lithuania to promote research integrity in the academic environment; discussed the importance and the role of good (generally accepted) scientific practices (standards of academic ethics) in promoting trust in science; and explained the assessment of breaches of academic ethics in scientific papers from the perspective of both ethics and law.

In the reporting year, the target for the proportion of invited presentations (speeches) at international events was 13%. The information provided shows that this result indicator has been achieved 37 percentage points above the target.

The average time it takes to investigate complaints and carry out investigations is 92 calendar days.

Article 17(10) of the RHE (2017-01-01 - 2021-11-30 edition) provides that "The Ombudsperson shall handle the complaint (report) or conduct an investigation, take a decision and inform the applicant in writing not later than 30 days from the date of receipt of the complaint (report) or the date of initiation of the investigation. The time limit for the handling of the complaint (report) or investigation and the adoption of a decision may be extended to 3 months from the date of receipt of the complaint (report) or the opening of the investigation, on account of the complexity of the circumstances of the complaint (report) or investigation or the fact that additional information is required in the course of handling or investigating the complaint (report)." This provision provides for a minimum of 30 and a maximum of 92 calendar days for the Ombudsperson to make a decision.

Article 17(10) of the RHE (effective consolidation edit from 2021-12-01) provides that "The Ombudsperson shall handle the complaint (report) or conduct an investigation, take a decision and inform the applicant in writing not later than in 30 days from the date of receipt of the complaint (report) or the date of initiation of the investigation. The time limit for the handling of the complaint (report) or investigation and the adoption of a decision may be extended two times by 4 months due to the complexity of the circumstances of the complaint or investigation or due to the fact, that during the handling or investigation of the complaint the Ombudsperson has to receive additional information." This provision allows for non-less than 30 and non-more than 275 calendar days for the Ombudsperson to make a decision.

In the reporting year, the Office dealt with 29 complaints and suspended the handling of one complaint due to ongoing legal proceedings (Table 3). Four complaints received during the year under review were investigated and resulted in three decisions by the Ombudsperson. One decision of the Ombudsperson was adopted in excess of the time limit for the handling of complaints laid down in the RHE – the handling of the complaint took 106 calendar days due to the need to gather additional information and the temporary absence, business trips, leave, replacement and other reasons of the Office's staff assigned to handle the complaint.

Of the 18 complaints received in the reporting year, 12 (67%) were refused on the grounds that the complaint could not be dealt with in accordance with the Ombudsperson's competence under the RHE (N=5), the complaint was referred to the RHEI for self-regulation (N=5), the applicant withdrew his/her complaint (N=1) and on the grounds of other provisions set out by the legislation. These complaints took an average of nine calendar days to process.

Nine complaints received in 2020 were dealt with in the reporting year and resulted in eight Ombudsperson decisions. Seven decisions of the Ombudsperson were taken in excess of the time limit for the handling of complaints laid down in the RHE – the handling of a complaint took from 158 calendar days to 242 calendar days due to the complexity of the case, the collection of information from foreign publishers, the temporary absence, business trips, leave, replacement and other reasons of the Office's staff assigned to handle the complaint.

Table 3. Complaints handling in 2021

		Complaints receiv	ed		Complaints handli	ng
Year of receipt of complaints	Total	Number of handling complaints	Number of complaints suspended*	Number of complaints handled**	Number of complaints refused to be handled	Number of complaints under handling in 2022
2020	12	11	1	9	1	1
2021	18	18	0	4	12	2
Total:	30	29	1	13	13	3

^{*} The complaint is suspended due to ongoing legal proceedings.

In the year under review, the target was to investigate complaints and carry out investigations at the initiative of the Ombudsperson within an average of 92 calendar days. The information provided shows that this result indicator has been achieved above the target value, with an average duration of 78 calendar days for complaints and investigations.

Table 4. 2021 product indicators (achieved indicators)

	2019	2020	2021			
Involvement in legislation on academic ethics and procedures						
Number of proposals for national documents related to research and	n.d.*	11	6			
higher education quality assurance in the field of academic ethics and						
procedures						
Office representation						
Number of invited presentations performed/speeches held at events	n.d.	2	8			
Creating the conditions for the development of the competences of the employees of the Office						
Average number of hours of training and qualification improvement per	64.5	34	41.6			
employee (hours/employee)						

^{*} n.d. – no data available.

1.2.1. Involvement in legislation on academic ethics and procedures

Suggestions for quality assurance in the field of academic ethics and procedures

^{**} The Ombudsperson's decisions on these complaints.

In the reporting year, the Office was involved in legislation in the field of academic ethics and procedures by submitting six proposals within the competence of the Ombudsperson as defined in the RHE on national documents related to the research and higher education quality assurance (Table 4). Two proposals were submitted to the Ministry of Education, Science and Sport on the draft Plan for the implementation of the provisions of the Government Programme in the field of research and higher education and four proposals were submitted to the Ministry of Culture of the Republic of Lithuania on the draft Law on Copyright and Related Rights.

Details of the proposals are given in section 1.2 of this report.

During the reporting year, the aim was to make 5 proposals for national documents related to research and higher education quality assurance in the field of academic ethics and procedures. The information provided shows that this result indicator has been achieved 20 percentage points above the target.

1.2.2. Office representation

Invited presentations

In the reporting year, the Office delivered eight invited presentations (speeches) (Table 4), including three presentations at various national events (e.g., discussions, seminars) organised by the Lithuanian Students' Union, the Vilnius University Students' Union, and Klaipėda State University of Applied Sciences, and one presentation at the meeting of the Intellectual Property Protection Coordination Commission. Students were interested in ensuring academic ethics in the study process (e.g., in the organisation of distance learning, considering what measures are more effective in ensuring compliance with academic ethics), and the importance of academic ethics for the social dimension. At the meeting of the Intellectual Property Protection Coordination Commission established by the Order of the Minister of Justice of the Republic of Lithuania, the Office presented the challenges of research data protection.

Information on guest presentations (speeches) at international events is provided in subsection 1.2 of this report.

In the reporting year, the aim was to perform 3 guest presentations (speeches) at events. The information provided shows that this result indicator has been achieved 167 percentage points above the target.

1.2.3. Conditions for the development of the competences of the Office employees

Office employees' qualification improvement

All the staff of the Office were given the opportunity to improve their skills through self-learning, learning while doing, learning from others and/or non-formal education (Table 4). Office's employees received training in both general and specific competences: 64% of the training was dedicated to improving their specific competences and 36% to improving their general competences. The same percentages are also true for the distribution of the number of trainings by language: 64% of trainings were conducted in Lithuanian, 36% in English.

Office's employees have been learning how to ensure and improve the quality of the Office's internal administration, e.g., in the areas of fire safety, occupational health and safety, protection of personal data, administrative law, personnel administration, public procurement and other areas. Office's employees have received training in specific areas such as responsible research, academic integrity, etc.

Figure 2. Short-term work visits



Representatives of the Office at the Finnish National Board on Research Integrity



Representatives of the Office at the Norwegian National Research Ethics Committees

Photos from the Office's archive

Three staff have had the unique opportunity to take part in short-term work visits for interinstitutional knowledge and experience exchange. They visited the Finnish National Board on Research Integrity and the Norwegian National Research Ethics Committees (Figure 2). Office's employees were interested in how research integrity provisions are developed by these states' institutions and how the measures they implement to prevent unethical behaviour are implemented in these countries (e.g., through advice, training, guidelines). They were also curious regarding the specifics of handling allegations of academic ethics. These work visits were partly funded by the Public Administration part of the Nordic-Baltic Mobility Programme for Public Administration. The knowledge and experience gained by the staff of the Office will be useful in improving the Office's complaints handling procedures and in improving the advice to the academic community.

In the reporting year, the target was an average of 40 hours of training and further training per staff member. The information provided shows that this result indicator has been achieved 4 percentage points above the target.

II. HANDLING OF COMPLAINTS

2.1. COMPLAINTS ABOUT ALLEGED ADMINISTRATIVE TRANSGRESSIONS

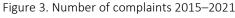
The Office is authorised to investigate administrative transgressions under Article 123 of the Code of Administrative Transgressions of the Republic of Lithuania. The Office carried out two investigations into alleged administrative transgressions. One resolution was issued – refusing to open administrative transgression proceedings when the act committed does not contain the elements of an administrative transgression. Another administrative transgression investigation has been opened for the same person, who has already been given an administrative sanction (warning) in 2020, i.e., the administrative transgression proceedings were opened in 2021 and continue in 2022.

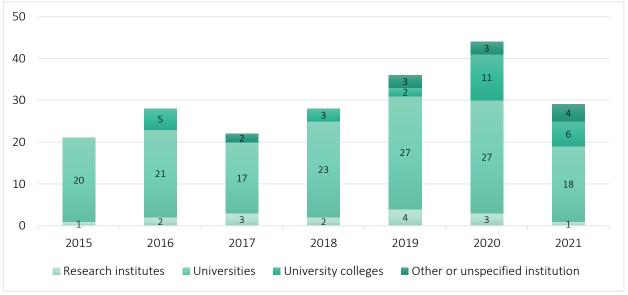
2.2. COMPLAINTS ABOUT ALLEGATIONS OF ACADEMIC ETHICS AND PROCEDURES

In the reporting year, the Office handled 29 complaints and suspended one complaint due to ongoing legal proceedings (Table 2). Of the 18 complaints received during the reporting year, four were investigated and three decisions were taken by the Ombudsperson. Of the 18 complaints received during the reporting year, 12 (67%) were refused on the grounds that the complaint could not be dealt with in accordance with the Ombudsperson's competence under the RHE (N=5), the complaint was referred to the RHEI for self-regulation (N=5), the applicant withdrew his/her complaint (N=1) and for other reasons as laid down by the legislation. Of the 18 complaints received in the reporting year, two are still being handled.

Nine complaints received in 2020 were handled in the reporting year and resulted in eight Ombudsperson's decisions. One complaint was rejected and referred to RHEI for self-regulation and one is being re-handled.

In the reporting year, three cases of allegations of academic ethics and/or procedures or administrative transgressions were referred to the Office by other institutions due to the Office having competence over such matters. The majority of complaints investigated in the reporting year (62%) concerned allegations of academic ethics and/or procedures at universities (Figure 3). One fifth of the complaints handled in the reporting year (21%) related to allegations of academic ethics and/or procedures in university colleges (Figure 3). The number of complaints about allegations of academic ethics and/or procedures at universities and university colleges remained similar compared to the 2020 figures: the number of complaints about such breaches increased by only 1 percentage point at universities and decreased by 4 percentage points at university colleges.





In terms of the proportion of complaints considered by the RHEIs prior to their submission to the Ombudsperson, 64% of complaints leading to decisions were not previously considered by the RHEIs during the reporting year (86% in 2019 and 74% in 2020). Assumedly, in 2021, compared to 2019 and 2020, reliance on the academic ethics committees operating in RHEIs has increased, i.e., by 11 percentage points on average.

In 2021, the Office was involved in 33 legal proceedings, of which 18 were concluded in the reporting year (11 at the Vilnius Regional Administrative Court and 7 at the Supreme Administrative Court of Lithuania). Latter court judgments/rulings have annulled, in whole or in part, 5 decisions of the Ombudsperson: The Ombudsperson's decision in 2017 was partially annulled due to an unlawful binding decision taken by the Ombudsperson (the Ombudsperson's order to the RHEI to revoke the decision on the award of a higher education qualification violated the legal principle of *lex retro non agit* (law has no retroactive effect)); the Ombudsperson's decision adopted in 2018 was completely annulled due to violation of the constitutional principle of *lex retro non agit* (law has no retroactive effect); two decisions adopted by the Ombudsperson in 2020 were completely annulled and the court was obliged to adopt new decisions in accordance with the provisions of the Law on Public Administration of the Republic of Lithuania; the Ombudsperson's decision adopted in 2021 was partially annulled due to violation of the complaint handling procedures.

Taking into consideration the suggestions and recommendations set out in the minutes of the meeting of the Committee on Education and Science of the Parliament of the Republic of Lithuania of 5 May 2021, No. 106-P-16, as well as the case-law, the Office adopted Rules of the procedure for the handling of complaints and the conduct of investigations at the initiative of the Ombudsperson for Academic Ethics and Procedures. These Rules have been prepared in accordance with the RHE, the Law on Public Administration, the Rules for the Handling of Requests

and Servicing of Persons in Public Administration Institutions, Agencies and Other Public Administration Entities, approved by the Resolution of the Government of the Republic of Lithuania No. 875 of 22 August 2007 "On the Approval of the Rules on the Handling of Requests and Complaints and the Servicing of Persons in Public Administration Entities", the Regulations of the Office, the Rules of Procedure of the Office, as well as other normative legal acts. The Rules are based on the *ENRIO Handbook: Recommendations for the Investigation of Research Misconduct*.

Around one third of the completed legal proceedings (5 out of 18; 28%) and the ongoing legal proceedings (7 out of 15; 47%) in the reporting year were initiated by the same natural person, i.e., in the reporting year, more than one third of the legal proceedings (36%) involving the Office were complaints by the same natural person. In addition, the same natural person has contacted the Office on at least 30 occasions for the provision of various types of information and has questioned the Office's performance before other public authorities. Taking into consideration the principles of efficiency and proportionality of public administration laid down in Articles 3(3) and 3(10) of the Law on Public Administration and the fact that the limited human and other resources of the Office result in a considerable workload in preparing replies to the same individual, a systematic assessment of all or some of the public sector resources allocated to the case in question should be considered.

III. COOPERATION

3.1. NATIONAL COOPERATION

The Office has used various means of cooperation at national level, e.g., the preparation of the Guidelines related to Ensuring Academic Ethics and Equal Opportunities in Scientific Events in cooperation with the Equal Opportunities Ombudsperson's Office, and the organisation of regular meetings with the academic ethics committees of the RHEIs (see more in section 1.1.1).

It should be noted that the Office has been involved in informal working groups initiated by the Ministry of Culture and the "Baltas" Alliance to address piracy problems in Lithuania – the Working Group on Changes in Education and Content Consumption Behaviour and the Working Group on Regulation and Practical Implementation of Law. These working groups aim to find solutions to reduce the use of illegal content in Lithuania by drawing on the expertise of market participants.

It should also be noted that the Office provided information to the State Data Protection Inspectorate by completing a questionnaire on the appropriate safeguards for the processing of personal data for research purposes, in accordance with the provisions of the Article 89(1) of 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 Act).

Processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes, shall be subject to appropriate safeguards, in accordance with this Regulation, for the rights and freedoms of the data subject. Those safeguards shall ensure that technical and organisational measures are in place in particular in order to ensure respect for the principle of data minimisation. Those measures may include pseudonymisation provided that those purposes can be fulfilled in that manner. Where those purposes can be fulfilled by further processing which does not permit or no longer permits the identification of data subjects, those purposes shall be fulfilled in that manner.

Article 89(1) of the General Data Protection Regulation

3.2. INTERNATIONAL COOPERATION

The Office continued its participation in international networks, such as ENRIO (e.g. by participating in the meetings of the Working Group on Ethics in the Social Sciences and Humanities, by making suggestions to the draft guidelines for whistleblowers, by contributing to the organisation of the 1st European Congress on Research Integrity Practice) and the *Council of Europe Platform on Ethics, Transparency and Integrity in Education* (e.g. by proposing

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improvements to the draft Recommendations of the Committee of Ministers to Member States on countering Education Fraud and promoting ethics, transparency and integrity in education).

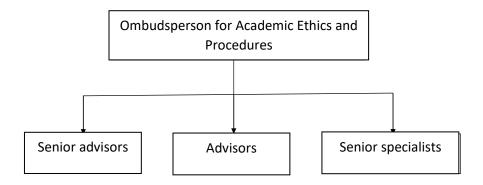
The Office has been invited to submit proposals to improve the draft didactic framework of the Responsible Open Science curriculum developed by the project "Responsible Open Science in Europe" team under the European Union's "Horizon 2020" research and innovation funding programme. In addition, the Office provided statistical and other information to the Ombudsperson Working Group of the Slovak Secondary School Pupils' Alliance on the activities of the Office.

IV. OFFICE GOVERNANCE

4.1. HUMAN RESOURCES

The Office does not have any units or working groups, so all staff is directly accountable to the Ombudsperson (Figure 4). Office employees — civil servants, career civil servants and employment contract staff. The staff of the Office consists of senior advisers, advisers, and senior specialists.

Figure 4. The Office's governance chart



The number of positions of career civil servants and staff employed under employment contracts and receiving remuneration from the State budget and State cash funds in the Office is 10. According to 31 December of the reporting year there were 7 women and 1 man working for the Office. The average age of the Office's staff is 43 years.

All staff members of the Office have a university degree: 2 out of 8 staff members have a doctor degree, 5 out of 8 staff members have a Master's degree or equivalent and 1 out of 8 staff members has a Bachelor's degree or equivalent. The most recent university degree obtained by the Office's employees, based on the year in which it was awarded, shows that the Office employs staff with university degrees in the social sciences (e.g., law, public administration, sociology, management) or the physical sciences (e.g., mathematics, computer science). The most recent graduates are alumni of Vilnius University, Vytautas Magnus University and Mykolas Romeris University.

In the reporting year, 9 members of the staff of the Office were incentivised by means of an increase in the coefficient of the fixed part of the salary (e.g., the average of the coefficients of the fixed part of the salary of the staff of the Office was 7.3 for 2019 and 8.9 for 2021), in addition to the introduction of a variable part of the salary and the award of a bonus.

The working conditions for the staff of the Office were also improved by changing the premises of the Office. The Office has moved to more spacious premises, allowing staff to receive people in separate meeting rooms (e.g., for individual counselling, handling complaints, investigating alleged administrative transgressions), to organise meetings for groups of up to 15 people, to store goods and supplies purchased by the Office in a proper manner, to keep the Office's archive of files, etc.

4.2. FINANCIAL RESOURCES

State budget funds: in 2021, the State budget allocated EUR 241,000 for the programme "Governance of the Office of the Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania", of which EUR 173,000 were for salaries. The Office spent 85% of the State budget under this programme. Unspent appropriations for salaries amount to 17%. The latter was not used due to several failed calls for the same position (e.g., no applicants, no attendance of applicants).

Foreign funding. The Office provided around EUR 5,000 for short-term work visits to Finland and Norway, 60% of which came from the Nordic-Baltic Mobility Programme for Public Administration.

4.3. INFORMATION RESOURCES

The efficiency of the Office's performance was ensured by maintaining existing information technology systems and upgrading computerised workplaces. The Office purchased 12 laptops, which provided adequate conditions for distance working, both in the event of *force majeure* and to ensure the implementation of the provisions of the legislation on distance working. A video monitor is also installed in the Office's Meeting Room to show presentations. The Office did not have a server room, so a server cabinet was purchased to ensure the security of electronic information.

The administration area of the Office's website https://etikostarnyba.lt/ has been upgraded and new electronic information security solutions have been introduced.

V. THE OFFICE'S PRIORITIES FOR 2022 ACTIVITIES

Based on the Office's performance in 2019–2021, it is foreseen to continue the implementation of the Office's 2021 Priority 1 and to expand the implementation of the former Priorities 2 and 5 (now Priorities 2 and 3) in 2022:

- 1) Implementation of measures to prevent unethical behaviour in academic community (Q1-Q4)
- 2) Improving the efficiency of the handling of cases of alleged breaches of academic ethics and procedures and of alleged administrative transgressions (Q1–Q4)
 - 3) Upgrading the skills of the Office's staff (Q1–Q4)

https://etikostarnyba.lt/