

Cooperation and Liaison between Universities and Editors (CLUE) guidelines

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Investigations for potential misconduct: problems

- **Difficult for editors to identify whom to contact**
- **Institutional investigations slow and not always thorough/independent/transparent**
- **No institution or several institutions involved**
- **Journals/editors not informed or informed late**
- **Institutional report not published or not even shared with journal**
- **Institutions more concerned about employment law/sanctions/culpability than the scientific record**

Journals and institutions have different perspectives

THE LANCET

Volume 398 Number 10295 Pages 93-984 July 10-16, 2021 www.thelancet.com

“The message for change is clear: COVID-19 should be the last pandemic. If the global community fails to take this goal seriously, we will condemn the world to successive catastrophes.”

See Comment page 101

Editorial	World Report	Articles	Articles	Review
COVID-19 in Latin America—emergency and opportunity See page 93	The slow road to stemment See page 101	Heterologous vaccine regimens against COVID-19 See page 95	Ipilimumab plus abiraterone in metastatic castration-resistant prostate cancer See page 103	Contemporary radiotherapy: present and future See page 97

Registered as a newspaper ISSN 0140-6736
Founded 1823 - Published weekly

Research validity
Accuracy of scientific record

Reputation
Culpability
Employment law
Legal repercussions



.... an example

“xxx Hospital are reviewing concerns about the integrity of certain data.... and included in the following published paper.....While the institutional review of the veracity of the data in this paper is ongoing..... we have determined.... that a retraction is warranted.”

“Because review of this paper is ongoing, we cannot provide additional details at this time”

CLUE workshop:

Heidelberg, July 11-13, 2016

**CLUE = Collaboration
and Liaison between
Universities and Editors**



CLUE workshop participants

From: UK, USA, South Africa, Germany,
Croatia, Australia, Netherlands

Dean, Vice-Chancellor, Research Integrity Officers, Editors,
Publishers, Funder, Lawyer, Director at ORI, Director of
Research Integrity.

Background to CLUE



- Many research integrity cases involve work submitted to (or published in) academic journals
- Full investigation and resolution of such cases therefore often requires liaison between universities and journals
- COPE published guidelines on this in 2012
- CLUE evolved from discussions at World Conferences on Research Integrity on outstanding issues and implementation

COMMENTARY

Open Access

Cooperation & Liaison between Universities & Editors (CLUE): recommendations on best practice



Elizabeth Wager^{1*} , Sabine Kleinert²  and on behalf of the CLUE Working Group

Abstract

Background: Inaccurate, false or incomplete research publications may mislead readers including researchers and decision-makers. It is therefore important that such problems are identified and rectified promptly. This usually involves collaboration between the research institutions and academic journals involved, but these interactions can be problematic.

Methods: These recommendations were developed following discussions at World Conferences on Research Integrity in 2013 and 2017, and at a specially convened 3-day workshop in 2016 involving participants from 7 countries with expertise in publication ethics and research integrity. The recommendations aim to address issues

Wager, E., Kleinert, S. & on behalf of the CLUE Working Group. Cooperation & Liaison between Universities & Editors (CLUE): recommendations on best practice. *Res Integr Peer Rev* 6, 6 (2021).
<https://doi.org/10.1186/s41073-021-00109-3>

Research Institutions should:

- 1) develop mechanisms for assessing the integrity of reported research ... that are distinct from processes to determine whether individual researchers have committed misconduct;
- 2) release relevant sections of reports of research integrity or misconduct investigations to all journals that have published research that was investigated;
- 3) take responsibility for research performed under their auspices regardless of whether the researcher still works at that institution or how long ago the work was done;
- 4) work with funders to ensure essential research data is retained for at least 10 years.

Journals should:

- 1) respond to institutions about research integrity cases in a timely manner;
- 2) have criteria for determining whether, and what type of, information and evidence relating to the integrity of research reports should be passed on to institutions;
- 3) pass on research integrity concerns to institutions, regardless of whether they intend to accept the work for publication;
- 4) retain peer review records for at least 10 years to enable the investigation of peer review manipulation or other inappropriate behaviour by authors or reviewers.

Survey of UK universities

- Electronic survey
- Spring 2022
- Sent to UKRIO's 110 subscriber institutions (mainly UK universities)
- Data presented at 7th WCRI in Cape Town



39 responses

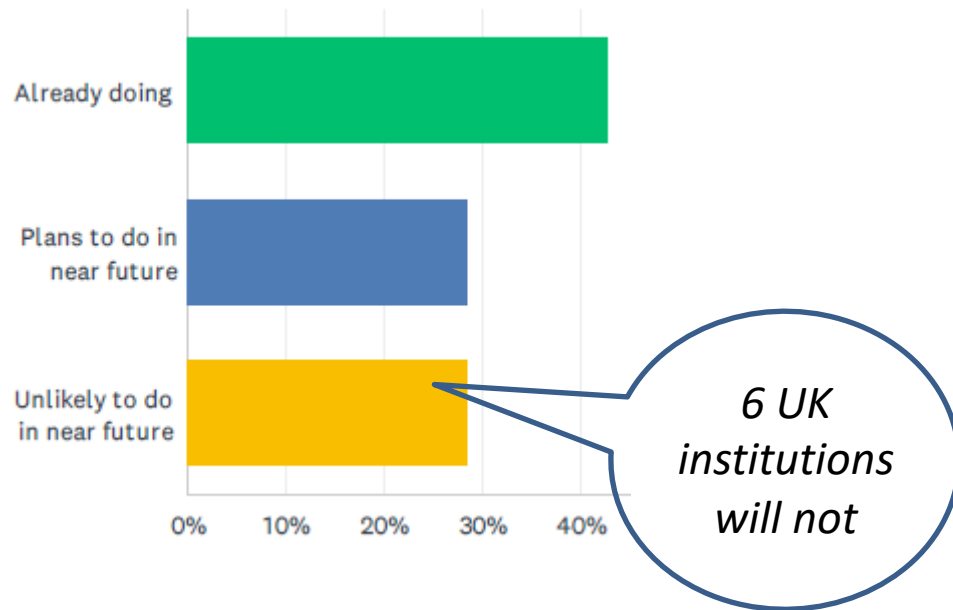
UUK lists 140
universities



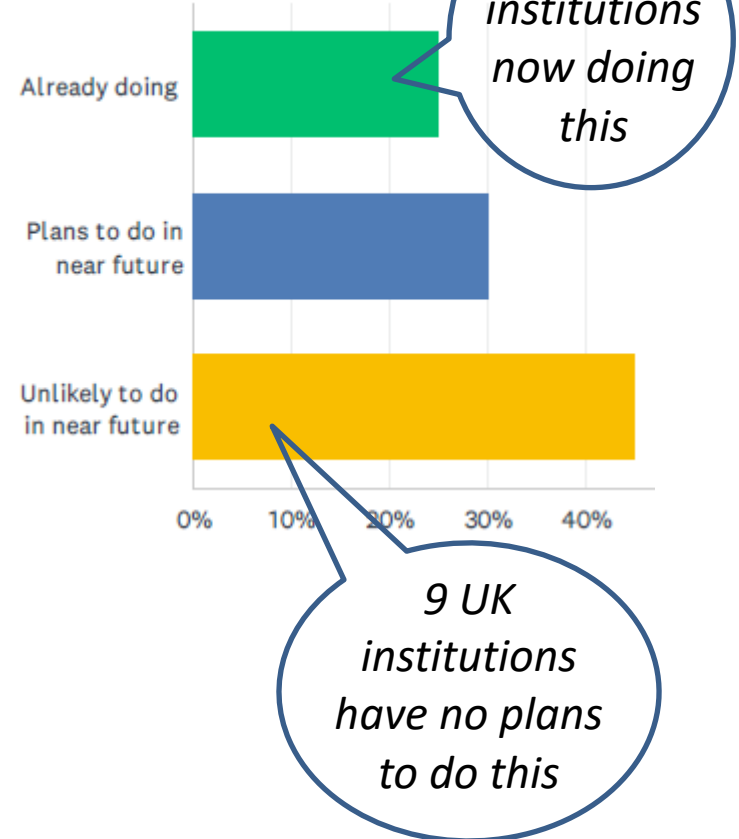
Thanks to Liz Wager

Barriers to implementing CLUE

Does your institution release relevant parts of investigation reports to affected journals?



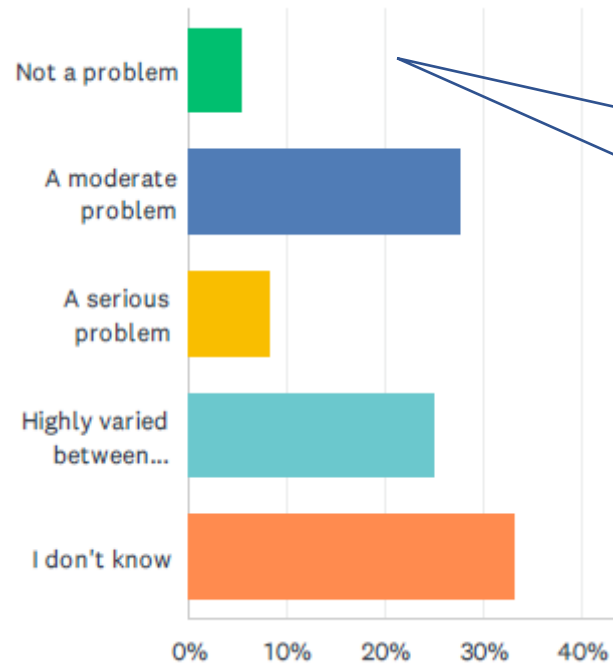
Does your institution allow journals to quote from investigation reports or cite them in retractions?



Comment from respondent: "This has substantial HR and GDPR implications"

Also problems when universities try to contact journals ...

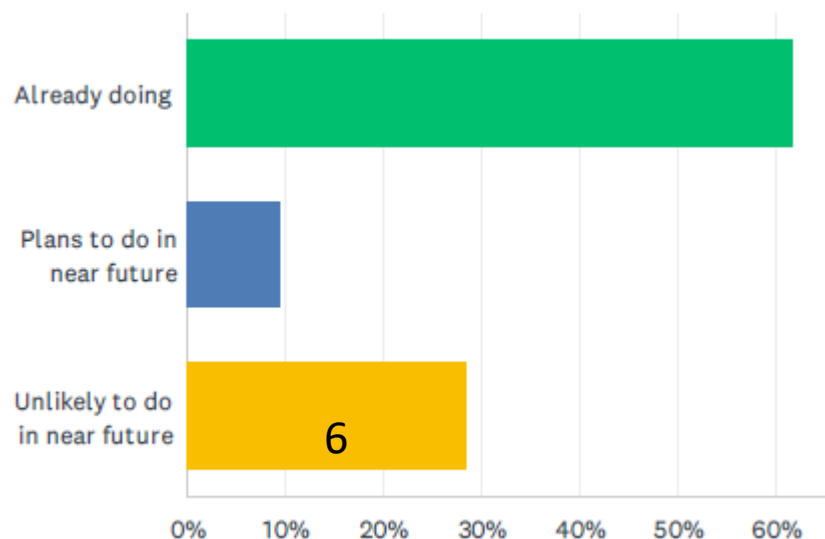
- Responsiveness of editors / publishers



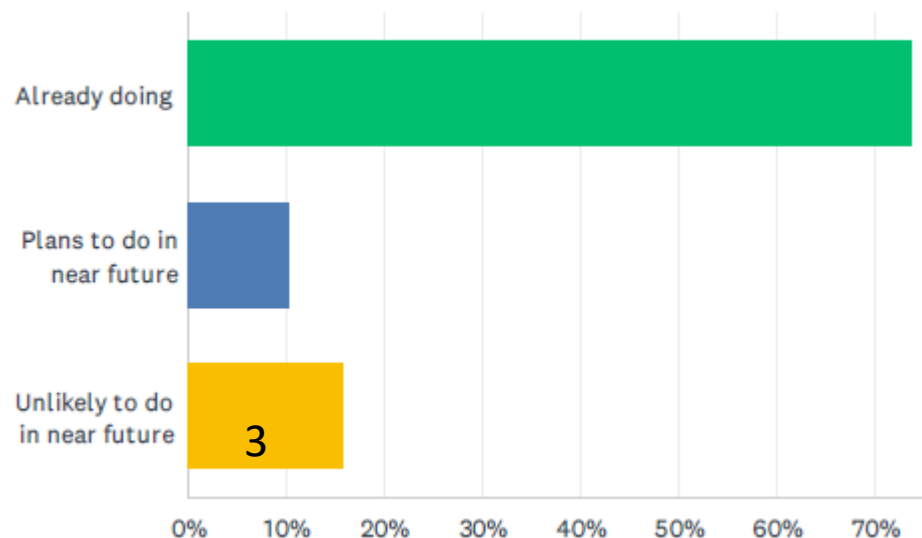
*Only 2 respondents said this was **not** a problem*

Handling historical cases

Does your institution respond to concerns by people who no longer work there and for work done a long time ago?



Does your institution ensure that research data are retained for at least 10 years?



Comment from respondent: “[It is] very difficult to justify resources to put into historical investigations”

CLUE recommends that institutions should work with **funders** to ensure essential research data is retained for at least 10 years

Is this feasible?

- CLUE proposes that institutions have mechanisms to assess the VALIDITY of PUBLICATIONS distinct from processes for assessing individual misconduct
- 40% of respondents (8) felt they were unlikely to do this in the near future

Comments :

“Difficult to distinguish misconduct in publication practice from overall employee misconduct”

“Not feasible on a large scale at all”

“We are a small institution and simply do not have resource to guarantee doing this routinely”

8th World Conference on Research Integrity



WORLD CONFERENCES ON RESEARCH INTEGRITY

2-5 June 2024

Megaron Athens International Conference Centre (MAICC)



Important Dates

**Hope to see you
In Athens in 2024!**

<p>Travel grant application now open</p> <hr/> <p>READ MORE</p>	<p>Abstract submission now open</p> <hr/> <p>READ MORE</p>	<p>Abstracts & Travel Grants Deadline</p> <hr/> <p>16 October 2023</p>
<p>Registration opens</p> <hr/> <p>November 2023</p>	<p>Abstracts & Travel Grants Acceptance Notification</p> <hr/> <p>15 February 2024</p>	<p>Early Bird Deadline</p> <hr/> <p>15 March 2024</p>