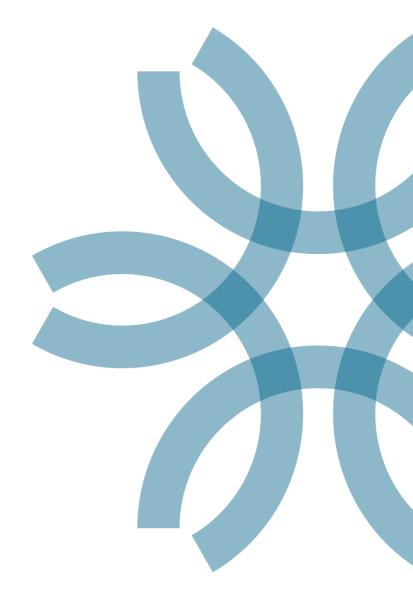# Annotated collection of guidelines from academic institutions for the protection of scientific work

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DLR Projektträger

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Contents

0   Background

This annotated collection gathers and synthesizes guidelines focused on safeguarding science published by renowned European institutions. The document was created to provide researchers, academics, policymakers, higher education institutions (HEIs) and research performing organizations (RPOs) with a comprehensive resource for maintaining the integrity and security of scientific endeavours.

All included guidelines are generally no older than four years. Documents in each chapter are sorted from least to most comprehensive to simplify access to unfamiliar subjects and information.

Apart from a separate chapter for guidelines published by associations, guiding documents developed by HEIs and RPOs are categorized into the following chapters:

- **Code of Conduct**: set of rules and policies detailing core values and research ethics.
- **Travel Guidelines**: internal documents explaining guidelines for business trips, travel for the purpose of fieldwork etc. to affiliated staff.
- **Data Policy**: rules and regulations pertaining to the handling of research and other data.
- **Risk Management**: documents detailing institutional risk management strategies.

Foreign Information Manipulation Interference (FIMI), while not with its own chapter, is an additional category. It describes political and security challenges coming from foreign entities (state or non-state actors), which may entail negative impacts on values, procedures and political processes.

Information in each chapter may have several overlaps, which have still been noted in the summaries as repeats mark these points as commonly regarded and accepted. While some of the more comprehensive guidelines, such as the document on Research Data Management by the University of Basel (see chapter 2.3.7) and the Safety Management guideline by the University of Twente (see chapter 2.4.4) offer extensive information on one subject, others, such as the security guidelines from VSNU (see chapter 1.10) and the Leitplancken from the Max-Planck-Society (see chapter 2.1.3) offer extensive information on not just one but most relevant subjects related to safeguarding science.

Please note that the content presented here is a working aid, and readers are encouraged to refer to the original guidelines for more in-depth understanding and implementation specifics.

1 Guidelines by associations

The following guidelines are published by ministries, research organizations and other associations. They are well-recognized in their respective countries and often serve as a base for individual university policies. Guidelines developed by university consortia, such as Universities UK or Universities of The Netherlands (VSNU), usually serve as the standard policies for their member universities and may be elaborated further on an individual basis. Guideline documents published by ministries and official foundations are considered as recommendations for research institutions to promote a uniform understanding of safety measures on a nationwide scale.

1.1 League of European Research Universities (LERU)

Document:	Sorbonne Declaration on research data rights
Published by:	League of European Research Universities (LERU)
Type of institution:	University consortium
Published in:	2020
Main addressees:	RPO & HEI
Main topics:	Advocacy for regulated framework on data rights, emphasis on strengthening open science through data sharing
Category:	Recommendation paper, Data Management
Practical usefulness:	Offers a regulated framework on data rights, but limited in scope. More focused on advocating a general stance than offering detailed guidance. Accessible and straightforward given its brevity, but limited in providing actionable steps, more of a call for action.
Pages:	2

Short Summary:

The League of European Research Universities (LERU) is a consortium of 24 research-intensive universities primarily located in the EU. Founded in 2002, its membership consists of some of the most renowned and oldest universities in Europe. LERU focuses on issues critical to research universities, such as education quality, research funding, and innovation policy. The organization actively engages in dialogue with the European Union institutions, national governments, and other stakeholders to shape policies that impact research and innovation.

In their Sorbonne Declaration on research data rights, LERU appeals to governments to set regulated frameworks on data rights with the aim of strengthening open science through data sharing. The document's brevity and focus on advocacy make it more of a policy position paper than a practical manual. While the guideline lacks detailed instructions and specific examples for action, it highlights the need for a unified approach to data management in research.

The declaration was signed by the following: Association of American Universities, African Research Universities Alliance, Coordination of French Research-Intensive Universities, German U15, League of European Research Universities, Research University 11 Russell Group, The Group of Eight as well as U15 Group of Canadian Research Universities.

1.2 ERC Scientific Council

Document:	Open Research Data and Data Management Plans
Published by:	ERC Scientific Council
Type of Institution:	Funding Body
Updated in:	2022
Main addressees:	European RPO & HEI
Main topics:	Requirements for managing data in ERC-funded projects
Category:	Data Policy, with a focus on FAIR principles
Practical usefulness:	Highly detailed and specific. Includes resources such as templates and tools for data management (ERC Data Management Plan Template, DMPonline tool, ARGOS tool).
Pages:	24
Relevant Pages:	3, 4-7

Short Summary:

The ERC Scientific Council's guidelines on "Open Research Data and Data Management Plans" provide detailed directives for European researchers involved in ERC-funded projects. The 24-page document underscores the importance of adhering to the "FAIR" principles for data management, which stipulate that all research data accumulated in ERC projects should be **F**indable, **A**ccessible, **I**nteroperable and **R**e-usable. It specifically addresses the management of sensitive data, emphasizing the need for restricted access and justification for such restrictions. The guidelines methodically outline the process of creating effective data management plans, covering aspects like dataset description, standards, metadata, and data sharing methodologies. This guideline serves as a crucial resource for researchers, fostering responsible data management practices and enhancing the integrity and security of research data within the context of ERC-funded projects

The process of creating a data management plan in accordance to ERC guidelines is summarized into five aspects:

- Dataset Description
- Standards and Metadata
- Name and persistent identifier for the datasets
- Curation and preservation methodology
- Data sharing methodology

The document lists practical resources and tools available to simplify the process of preparing a data management plan, notably:

- ERC Data Management Plan Template
- DMPonline tool (online tool by the Digital Curation Centre, helps to draw a data management plan according to requirements of the ERC or other European research funding organisations)

ARGOS tool (online tool by OpenAIRE and EUDAT, helps generate machine actionable data management plans)

1.3 All European Academies (ALLEA)

Document:	The European Code of Conduct for Research Integrity
Published by:	ALLEA	All European Academies
Type of Institution:	Academic Network
Revised in:	2023
Main addressees:	European RPO & HEI
Main topics:	Research integrity, ethical practices
Category:	Code of Conduct
Practical usefulness:	Comprehensive and detailed, with emphasis on research integrity and ethical practices.
Pages:	24
Relevant Pages	3-12

Short Summary:

ALLEA is the European Federation of Academies of Sciences and Humanities. It represents more than 50 academies from around 40 EU and non-EU countries. Since its establishment in 1994, ALLEA has served as a voice for its member academies on European and international stages, promoting science as a global public good and facilitating scientific collaboration across borders and disciplines.

The 2023 Revised Edition of the European Code of Conduct for Research Integrity focuses on principles of reliability, honesty, respect, and accountability in research. It serves as a framework for self-regulation across all scientific and scholarly disciplines and for all research settings. The document outlines good practices in research environments, training, data management, and collaboration, emphasizing the importance of research integrity for trustworthiness. It also addresses violations of research integrity, and stresses the handling of such violations with fairness and transparency. The revised edition reflects new developments in technology, open science, and emphasizes the role of research culture in fostering integrity.

Under the Code of Conduct violations of research integrity can be categorised into fabrication, falsification and plagiarism. The document includes a detailed list with important aspects to consider while investigating reports of research misconduct, e.g.:

- The accused are presumed innocent until proven guilty
- Investigations must be transparent, fair and confidential
- Whistle-blowers must be protected during investigation, to ensure no damage to their research careers
- Punishment must be in proportion to the severity of misconduct

1.4   Universities UK

Document:	The Concordat to Support Research Integrity
Published by:	Universities UK
Type of Institution:	Academic Network
Updated in:	2023
Main addressees:	UK RPO & HEI
Main topics:	Research integrity
Category:	Code of Conduct
Practical usefulness:	Detailed with a focus on ethical, legal, and professional frameworks. Clearly outlines responsibilities and principles. Provides a robust framework for upholding research integrity, though lacks specific action plans for implementation.
Pages:	22
Relevant Pages:	6-17

Short Summary:

Universities UK is an organization representing universities across the United Kingdom. It works to support and improve the UK's higher education sector by collaborating with universities, the government, and other stakeholders. Universities UK's activities encompass a broad range of areas such as funding, finance, operations, research and innovation, health and wellbeing, equality, diversity and inclusion, student experiences, and international collaboration.

The "Concordat to Support Research Integrity" represents a comprehensive set of guidelines aimed at promoting integrity in UK research. The document lays out key principles such as honesty, rigour, transparency, and accountability, vital for maintaining high standards in research activities. It outlines the specific responsibilities that fall upon researchers, academic institutions, and funding bodies, underscoring the collective effort required to uphold ethical research practices. The Concordat takes a firm stance against research misconduct, including fabrication, falsification, plagiarism, and failure to meet ethical standards.

While the guideline provides a thorough ethical framework, it is more geared towards setting out expectations and principles rather than offering detailed procedural steps for implementation. As such, it serves as a cornerstone document in guiding UK RPOs and HEIs in fostering a culture of integrity and ethical conduct in research.

1.5 Swiss Academies of Arts and Sciences

Document:	[Code of conduct for scientific integrity](#)
Published by:	Swiss Academies of Arts and Sciences
Type of Institution:	Academic Network
Published in:	2021
Main Audience:	Swiss RPO & HEI
Main Topics:	Research integrity
Practical usefulness:	Well-structured, detailed guidance. Practical recommendations.
Category:	Code of Conduct
Pages:	40

Short Summary:

The Swiss Academies of Arts and Sciences is an organization that supports and networks the sciences at various levels in Switzerland. It comprises four distinct Swiss academies: the Swiss Academy of Natural Sciences, the Swiss Academy of Medical Sciences, the Swiss Academy of Humanities and Social Sciences, and the Swiss Academy of Engineering Sciences. It focuses on foresight of socially relevant topics, raising awareness of the ethical responsibility of sciences, and promoting dialogue between science and society.

The "Code of Conduct for Scientific Integrity" is a comprehensive document dedicated to promoting ethical behaviour in the Swiss higher education system. The Code embodies principles of reliability, honesty, respect, and accountability, aiming to fortify scientific integrity in all areas of research and education. Notably, it puts significant emphasis on the training and development of young researchers. The Code acknowledges the evolving landscape of research, including developments in Open Science and the influence of social media. It also delineates clear guidelines for handling violations of research integrity and offers practical recommendations for establishing bodies to oversee and maintain scientific integrity, such as:

- an advisory and arbitration body, whose purpose is to offer advice for possibly affected parties
- an independent investigation body in case of misconducts to supervise and ensure a transparent process
- a body responsible for making decisions to ensure appropriate and proportionate sanctions

These provisions ensure a common understanding and equitable treatment in case of misconduct.

1.6   Projekt WISKOS

Document:	Risks for the German research area [Risiken für den deutschen Forschungsstandort (document only available in german)]
Published by:	Projekt WISKOS (Max-Planck-Institute for the study of crime, security and law)
Type of Institution:	Public project
Published in:	n.D.
Main addressees:	German RPO & HEIs
Main topics:	Security and espionage threats to the European research area
Category:	Foreign Information Manipulation Interference (FIMI)
Practical usefulness:	Specific focus on potential espionage risks in various research fields, with a clear delineation of risk areas and preventive measures. Offers a variety of practical recommendations tailored to different levels within an institution.
Pages:	28
Relevant Pages:	5-8, 10-11, 13-17, 19-24

Short Summary:

The WISKOS project was funded by the German Ministry for Education and Research (BMBF) and has concluded in 2018. Its goal was to systematically assess espionage threats in the German research area.

The document offers an introduction to research security and espionage threats. Research fields that are considered especially attractive to foreign espionage are pointed out, such as aerospace, quantum, ICT and environmental research. Possible perpetrators, such as competing companies or research institutions and foreign intelligence services, are mentioned as well as consequences in case of successful espionage.

Recommended actions for prevention as well as rectification are tailored to different organizational levels, such as:

- Preventative measures: risk assessments for parts or the complete project as well as compiling a safety plan
- HR measures: sensitizing staff through training, appointing safety officers, supervision of conspicuous conduct, possible NDAs for staff (still applicable after leaving the institution)
- Administrative measures: external safety officers, contingency plans, joining workshops and conferences to stay up to date
- Technological measures: control and limit access to facilities and data

The document also includes terminology used in the security field and names of responsible bodies, providing a valuable resource for German RPOs and HEIs in safeguarding their research against espionage threats.

1.7 Data Protection Commission

Document:	Data Protection Basics
Published by:	Data Protection Commission
Type of Institution:	Independent Commission
Updated in:	2019
Main addressees:	Irish RPO & HEI
Main topics:	Data management
Category:	Data Policy
Practical usefulness:	Provides comprehensive recommendations for data management plans, especially regarding sensitive data. May need an update to reflect latest data protection laws.
Pages:	8

Short Summary:

The Data Protection Commission (DPC) of Ireland is a national independent authority responsible for upholding the fundamental right of individuals in the European Union (EU) to have their personal data protected. The DPC is tasked with enforcing GDPR (General Data Protection Regulation) compliance within Ireland and has jurisdiction over many multinational technology companies with European headquarters in Ireland.

"Data Protection Basics" provides comprehensive guidelines for constructing effective data management plans. The document covers vital aspects of handling sensitive data, emphasizing the importance of understanding legal and ethical responsibilities associated with data management. It not only addresses the storage of data but also delves into necessary access rights, ensuring that data protection is maintained throughout the research lifecycle and beyond.

1.8 Deutsche Forschungsgemeinschaft (German Research Foundation)

Document:	Dealing with Research Data [Umgang mit Forschungsdaten (document only available in german)]
Published by:	Deutsche Forschungsgemeinschaft (DFG)
Type of Institution:	Funding body
Published in:	2021
Main addressees:	German RPO & HEI
Main topics:	Research data management
Category:	Code of Conduct, Data Policy
Practical usefulness	Practical checklist on management of research data, but limited in scope.
Pages:	2

Short Summary:

The German Research Foundation (DFG) is one of the leading research funding organizations in Germany.

The "Dealing with Research Data" is a concise 2-page checklist outlining key aspects of research data management. It covers the description, documentation, storage, legal framework, sharing, and responsibility of research data.

Document:	Dealing with risks in international cooperations [Umgang mit Risiken in internationalen Kooperationen (document only available in german)]
Published by:	Deutsche Forschungsgemeinschaft (DFG)
Type of Institution:	public
Published in:	2023
Main addressees:	German RPO & HEI
Main topics:	Risk management
Category:	Recommendation paper, Risk Management
Practical usefulness:	Offers actionable insights and a structured approach to managing risks in international partnerships.
Pages:	6

Short Summary:

This guideline aims to raise awareness about the complexities and potential risks involved in international research collaborations.

Risks assessments as well as gain assessments should be conducted prior to any projects with possible international cooperation. These assessments are expected from the individual researcher as well as responsible research institute. Identified possible risks do not necessarily lead to the rejection of a project, but they to be considered by funding bodies before offering funding.

The guideline contains important questions such as:

- "Are there any dependencies on the partner country in the research field, and if so, which ones? Would there be alternative cooperation partners?"
- "Is there a possibility for obtained results or generated knowledge to be misused by third parties?"
- "For what will results be used after the end of the project?"
- "Does the cooperation partner partake in military research?"
- "Do external factors, that would make signing a written contract concerning rights and duties difficult, exist? Would a written contract be legally binding?"

These questions aim to help the scientists and responsible bodies in charge make informed decisions concerning risks in international cooperations.

1.9 Ministry of the Interior of the Czech Republic

Document:	Counter Foreign Interference Manual for the Czech Academic Sector
Published by:	Ministry of the Interior of the Czech Republic
	Security Policy Department Centre Against Terrorism and Hybrid Threats
Type of Institution:	Ministry
Published in:	2022
Main addressees:	Czech RPO & HEI
Main topics:	Guidance on setting up a "Counter Foreign Interference System"
Category:	Foreign Information Manipulation Interference (FIMI)
Practical usefulness:	Comprehensive manual providing orientation for countering foreign interference. Provides clear guidelines and questions for self-assessment.
Pages:	64
Relevant Pages:	16-23, 26-31, 33

Short Summary:

The manual offers direction to the Czech academic sector for setting up a "Counter Foreign Interference System" by 1) detailing the steps for compiling a risk management plan; 2) underlining the importance of due diligence; 3) putting emphasis on the necessity of good communication and training for affiliated personnel; 4) enabling the sharing of knowledge and experiences and 5) reminding of the significance of thorough cybersecurity.

For each of these, different questions pertaining to the subject matter are given. The most important ones can be summarized by:

Risk Management:

- Who is responsible for what?
- What guidelines and policies exist already?
- Do plans in case of interference exist?
- How are risks analysed? What are the definitions for risks?
- Do staff get regular training on risk issues?

Due Diligence

- What information is known about partner entities?
- How transparently does the partner entity operate?
- Does the partner entity aim to influence teaching materials and lectures? Do they allow dissenting opinions?
- Does the contract contain clauses making it near impossible to terminate?
- Does the contract comply with [Czech] law?

Communication and Training

- What training is provided to increase resilience to interference?
- What procedures are in place in case of reports of suspected interference and are they known to students, staff and other affiliated personnel?

- How can internal guidelines and policies be amended to include information on identifying potential risks?
- How can affiliated personnel at risk be further supported?

To summarize and give advice to further increase resilience to interference in the higher education sector the following steps are recommended to be taken:

- Conducting risk assessments for all relevant levels (top managers, staff, organisational unit and project)
- Being aware of general and safety recommendations and responsible instances at home institutions
- Setting up a risk mitigation system against interference through control mechanisms
- Training staff and participants in accordance to said strategy
- Regularly repeat risk assessments. evaluate any kind of new information and improve the risk mitigation system
- Prepare action and communication plans in case of foreign interference

1.10 Universities of the Netherlands (VSNU)

Document:	National knowledge security guidelines
Published by:	Universities of The Netherlands (VSNU)
Type of Institution:	Academic Network
Published in:	2022
Main addressees:	Dutch Universities
Main topics:	Knowledge security, threat assessment, legal frameworks, risk management, international partnerships, cybersecurity
Category:	Code of Conduct, Risk Management, FIMI
Practical usefulness:	Extensive coverage of various aspects of knowledge security. Provides comprehensive strategies for managing threats.
Pages:	56
Relevant Pages	4-7, 19-21, 29-43, 50-54

Short Summary:

The VSNU, or the Association of Universities in the Netherlands (Vereniging van Universiteiten in Dutch), is a collaboration between the fourteen Dutch research universities. The VSNU represents these universities towards the government, parliament, and organizations within and outside the educational sector. It acts as both a spokesperson and a lobbying body aiming to promote the interests and the quality of higher education and research in the Netherlands.

The National Knowledge Security Guideline's main focus is on preventing the undesirable transfer of sensitive knowledge and technology that could compromise national security. It addresses issues such as covert influence on education and research by state actors, which threatens academic freedom and social safety, and ethical concerns in collaborating with countries that disregard fundamental rights. The guidelines emphasize the importance of international cooperation and scientific talent worldwide, advocating for a balanced approach: being open wherever possible and protected where necessary. Core academic values, such as academic freedom and research integrity, underpin the approach to international collaboration and knowledge security. The guidelines also address legal frameworks and codes of conduct to counteract threats, including espionage and foreign influence. Institutions are encouraged to conduct risk analyses and establish robust risk management practices, ensuring the safety of collaborations and protecting against cyber threats and other security risks without leading to discrimination or stifling academic freedom.

2 Guidelines by Higher Education Institutions and Research Performing Organizations

In this section, guidelines published by European HEIs and RPOs will be presented.

2.1 Code of Conduct

A Code of Conduct is a set of rules and policies detailing core values, research ethics and institutional morals. Code of Conducts may contain overviews of different policies and guidelines.

2.1.1 University of Essex

Document:	Code of Good Research Practice
Published by:	University of Essex
Type of Institution:	Public
Revised in:	2023
Main addressees:	Research Staff
Main topics:	Research ethics and integrity
Category:	Code of Conduct
Practical usefulness:	Comprehensive coverage of research phases and core values. Offers specific advice on data management and ethical research conduct.
Pages:	18
Relevant pages	8-9, 10-12

Short Summary:

The University of Essex is a public research university located in Essex, England with 16.530 students (as of 2023). It was established in 1963 and has earned a reputation for its strong focus on social sciences, but it also offers a wide range of programs in humanities, science and technology, law, and business.

The Code of Conduct aligns with the "The Concordat to Support Research Integrity" (see chapter 1.4) by Universities UK. The document clearly outlines the expectations the University of Essex holds in regards to the research done for its staff and students.

Core values stated in the Code of Conduct are:

- Integrity, professionalism, honesty, rigour, transparency and open communication
- Fairness and equity
- Avoiding or declaring potential conflicts of interest
- Care and respect for all participants and subjects; including humans, animals, the environment and cultural objects
- Observe legal, regulatory and ethical requirements

Expectations for research done by affiliated researchers are:

- to be in line with the core values.
- a thorough data management especially in regards to personal data is strongly advised.

While risk is not explicitly mentioned further, researchers are advised to be cautious in research with third parties (commercial and non-commercial) in accordance with the ethics and values of the university.

2.1.2 ETH Zürich

Document:	Compliance Guide [only available in German (English version from 2019 available here)]
Published by:	ETH Zurich
Type of Institution:	Public
Published in:	2023
Main addressees:	Staff and Researchers
Main topics:	Research integrity, data management, knowledge transfer, export control, conflicts of interest
Category:	Code of Conduct
Practical usefulness:	Detailed information on diverse aspects of compliance. Includes practical tips and responsibilities for different management levels.
Pages:	44
Relevant Pages:	8, 15-20, 26-27

Short Summary:

ETH Zürich, officially known as the Swiss Federal Institute of Technology in Zurich, is a prestigious engineering, science, technology, mathematics, and management university in Zurich, Switzerland with 25.380 students (as of 2023). Founded in 1855, ETH Zürich is consistently ranked among the top universities in the world.

The Code of Conduct of ETH Zurich covers aspects such as research integrity, research data management, knowledge transfer, inspection of exports, and conflicts of interest.

Basic information on where possible risks may arise are given to enable staff to recognize problematic cases in a timely manner. The guide places responsibility on the appropriate levels of management and offers practical guidance for staff to ensure robust internal procedures.

For administrative concerns and general research:

- Follow the research integrity guidelines and citation etiquette
- Address problematic behaviour openly
- Follow best practice advice and avoid conflicts of interest
- Do yearly staff appraisals and make use of offered education opportunities

For export:

- Determine whether an export licence is required and observe applicable export regulations for procurement
- Classify unpublished knowledge or technology before any exchange may take place to prevent any unwanted knowledge transfer
- Take extra caution in case of dual-use potential and dealing with sanctioned countries
- Be careful of dealing with sanctioned countries

For (data) safety concerns:

- Define dangers within area of responsibility and obtain permits when required
- Keep up to date on emergency telephone numbers

- In case of suspicious activity, inform supervisor immediately
- Classify all data and information; ensure secure data storage
- Use up to date software, especially antivirus software; ensure secure passwords

2.1.3 Max-Planck-Gesellschaft

Document:	LEITPLANCKEN
Published by:	Max-Planck-Gesellschaft
Type of Institution:	Research Performing Organization
Published in:	2022
Main addressees:	Staff and Researchers
Main topics:	Research integrity, scientific practice, intellectual property, export control, conflicts of interest
Category:	Code of Conduct
Practical usefulness:	In-depth coverage of various topics with practical examples.
Pages:	72
Relevant Pages:	34-43

Short Summary:

The Max Planck Society (Max-Planck-Gesellschaft or MPG in German) is one of the leading research organizations in Germany. MPG operates dozens of research institutes and facilities that conduct basic research in the natural sciences, life sciences, social sciences, and the humanities.

The "Leitplancken" (German for "guardrails") serve as the leading document for MPG employees in regard to responsible conduct. The document covers a variety of topics such as research integrity, scientific practice, intellectual property, export control or conflict of interests. In each subchapter, explanations about possible scenarios and solutions can be found with recommendations, information on the responsible party, further information as well as a practical example to ensure understanding.

For confidentiality and data protection:

- Ensure Data is only processed for its intended purpose
- Use as little personal data as possible
- Store data for the duration of statutory retention periods; archive it if no longer necessary
- All data subjects must be aware of processing
- Always ensure data safety by using encryption and adhering to organizational instructions

For IT security:

- Only use third-party or public wi-fis in case of necessity, disabling all data permissions
- Use different e-mail addresses for different social networks and use two-factor authorization when possible
- In case of travel ensure security functions on all devices are up to date, encrypt all data and have back-ups; check access permissions of home network upon return

For export control:

- Consult with internal experts to determine if goods (research data and contents, software, technology etc.) are subject to restrictions under foreign trade legislation
- Be extremely conscious of possible harming uses of goods, such as dual-use potential

2.2 Travel Guidelines

2.2.1 University of Stuttgart

Document:	Safe Travel [Sicheres Reisen (document in German language only)]
Published by:	University of Stuttgart
Type of Institution:	Public university
Published in:	2021
Main addressees:	Staff and Students
Main topics:	Travel risk management, preparation for overseas trips
Category:	Travel Guidelines
Practical usefulness:	Offers FAQs and risk assessment tools.
Pages:	3

Short Summary:

The University of Stuttgart is a leading research university located in Stuttgart, Germany with 22.093 students (as of 2022). The university has established a strong reputation in the fields of automotive engineering, aerospace engineering, and manufacturing technology. It also offers programs in natural sciences, humanities, and social sciences.

The university has introduced a comprehensive Travel Risk Management (TRM) system to enhance safety and support for employees and students traveling abroad. The TRM includes extensive services ranging from in-depth consultations, a customised country database, to specific assistance in emergencies.

2.2.2   Radboud Universiteit

Document:	Safety guidelines for international travel
Published by:	Radboud Universiteit
Type of Institution:	Public university
Updated in:	2023
Main addressees:	Staff, Researchers and Students
Main topics:	Safety guidelines based on destination risk levels
Category:	Travel Guidelines
Practical usefulness:	Clear categorization of countries by safety levels with corresponding recommendations.
Pages:	4

Short Summary:

Radboud University is a public research university located in Nijmegen, the Netherlands with 24.633 students (as of 2022).

The safety guidelines for international travel serve as a helpful guide for staff members as well as students. Countries are categorized in a green (safe travel option), yellow (potentially unsafe travel option) and orange and red (unsafe travel option) category based on their respective safety concerns. Each category is further explained and comes with its own recommendations:

- Green: Take care of belongings
- Yellow: Ensure some safety precautions are in place
- Orange: Only essential travel, as dangerous situations may arise. Safety precautions are to be made beforehand
- Red: No travel recommended as life-threatening situations may arise

A phone number for international emergencies is given for affiliated students and staff. A contingency plan in case of crises exists.

2.2.3 University of Manchester

Document:	Travel risk assessment flowchart
Published by:	University of Manchester
Type of Institution:	Public university
Published in:	n.D.
Main addressees:	Staff and Researchers
Main topics:	Travel risk assessment
Category:	Travel Guidelines
Practical usefulness:	Offers a straightforward approach for risk assessment.
Pages:	1

Short Summary:

The University of Manchester is a prominent public research university located in Manchester, UK with 40.250 students (as of 2018).

The flowchart depicts the approach to travel for business or fieldwork. By detailing of different options in an easy to understand way it enables employees and/or students to easily identify needed documents based on the reason for travel and destination. A generic risk assessment as well as a specific risk assessment is available on their intranet.

Different emergency contact numbers for university affiliated personnel are listed.

The University of Manchester offers a pre-travel checklist spanning over most categories, such as health, emergency contact details, transport and security. These questions are basic, but cover a wide array of possible problems that travellers may not have been aware of and is therefore useful as a first resource.

2.2.4   University of Warwick

Document:	Travel Risk Management Policy
Published by:	University of Warwick
Type of Institution:	Public university
Revised in:	2023
Main addressees:	Staff, Researchers and Students
Main topics:	Travel risk management
Category:	Travel Guidelines
Practical usefulness:	Detailed policy with responsibilities across different authority levels.
Pages:	12
Relevant Pages:	4-5, 8

Short Summary:

The University of Warwick is a leading UK research university located on the outskirts of Coventry, between Coventry and Warwickshire with 28.823 students (as of 2023).

The Travel Risk Management Policy offers detailed responsibilities for each level of authority and stipulates that a mandatory risk assessment done before all travel.

Responsibilities include among others:

- University-level: ensuring that students and staff have access to appropriate training to assess and manage risk associated with their travel; ensuring that help is available for emergencies or other incidents
- Department-level: ensuring compliance to the travel risk management, ensuring travel risks and gains balance, maintaining regular contact with travelling staff
- Travelling staff: complying with the travel risk management, not taking unnecessary risks, maintaining contact, adhering to laws and regulations of destination country
- Risk and Resilience Team: reviewing the travel risk management policy, developing and updating procedures and training staff in them
- Communications Team: Developing, maintaining and implementing incident management communications strategies, monitoring social media activity

Travel destinations are categorized in green, amber and red; for green countries a Travel Declaration Form must be completed prior to travel; for amber countries Travel Risk Assessments must be completed and signed off by the authorising person prior to travel; red countries are determined to be unsafe and therefore travel is not permitted. Countries status can be assessed through Solace Secure, a Travel Assistance Service.

A pre-travel checklist that includes explicit questions concerning possible risk assessment is available with the recommendation that any negative answer should be handled with additional assistance before leaving for overseas.

2.2.5 University of Bristol

Document:	International Mobility Policy
Published by:	University of Bristol
Type of Institution:	Public university
Published in:	n.D.
Main addressees:	Staff and Researchers
Main topics:	Travel risk management
Category:	Travel Guidelines
Practical usefulness:	Clearly structured and comprehensive, although complex in nature.
Pages:	15
Relevant Pages:	10-13, 14

Short Summary:

The University of Bristol is a leading public research university in England with 22.574 students (as of 2023).

The International Mobility Policy focuses on policy for internationalization processes such as overseas work or travel and offers definitions of what consists as working overseas and related terms. It informs staff about employment rights, which may change depending on laws in the destination country, insurance, which staff must have filled a travel application prior to travel for, as well as passports and visa, which staff are responsible for. Information about payroll and taxes are listed in detail, with general situations explained and links to government bodies available in case of further need of information, as not all countries can be considered in a single guideline.

Risk Assessments are mandatory before working overseas. For destinations categorized as safe this may be a smaller, more generic assessment. For destination countries that have been deemed as unsafe under the Foreign & Commonwealth Office (FCO), a more thorough Risk Assessment has to be completed, and reviewed and approved by the Dean.

Responsibilities related to working overseas are listed in detail for the staff working overseas, the Head of School, Deans/Executive Boards as well as the International Mobility Support Team. The latter offers advice and assistance for staff members looking to work overseas.

2.2.6   University of Oxford

Document:	Overseas Travel and Fieldwork
Published by:	Oxford University
Type of Institution:	Public university
Published in:	n.D.
Main addressees:	Staff, Researchers and Students
Main topics:	Travel risk management
Category:	Travel Guidelines
Practical usefulness:	Comprehensive coverage of risks involved in overseas work/fieldwork.
Pages:	7
Relevant Pages:	2-5

Short Summary:

The University of Oxford, located in England, is one of the oldest and most prestigious universities in the world with 26.498 students (as of 2022).

The University of Oxford's guidelines for overseas travel and fieldwork stipulate that all overseas activities must be preceded by a suitable and sufficient risk assessment which considers the location, the activities to be undertaken and individual factors (such as experience). The level of detail needs to be proportionate to the risk.

The university has a standard template for its Travel and Fieldwork Risk Assessment, which can be tailored to individual departmental risk profiles. In case of travel to countries deemed as unsafe under the Foreign & Commonwealth Office (FCO) approval must be given by the Head of Department.

Policies pertaining to overseas travel and fieldwork cover risks involved in overseas work and risk assessments, insurance, contingency planning and fieldwork. Policies concerning student placement, cover guidance, legal frameworks, risk management, roles and responsibilities, placement processes, contingency planning and training of staff.

A Safety Office offers training (online and in person) for travelling researchers as well as supervisors and administrators. Online-learning tools such as different modules or pre-recorded lectures, are available to supplement training and can be booked by affiliated staff. Useful links to other organisations for further information or training is listed. With access to the internal documents this resource is exemplary in its offer of detailed course of actions for international travel and fieldwork.

2.3 Data Policy

Data Policies are internal documents pertaining to the handling of all kinds of data. Handling includes the collection, safe storing and also destruction of data. In regards to data policies in HEIs, main foci lie on the protection of personal data and access to research data.

2.3.1 Radboud Universiteit

Document:	Guidelines on control of research data
Published by:	Radboud Universiteit
Type of Institution:	Public university
Published in:	2016 (last updated 2023)
Main addressees:	Researchers
Main topics:	Data management, legal frameworks, "FAIR" principles
Category:	Data Policy
Practical usefulness:	Includes practical steps for research data management, adhering to FAIR principles.
Pages:	8

Short Summary:

Radboud Universiteit is a public research university located in Nijmegen, the Netherlands, with 24.104 students (as of 2020).

These guidelines identify the six essential points for Research Data Management (RDM):

- Research integrity requires accessibility and verifiability of data
- Quality of scientific research through accessibility to reproduce or replicate research
- Reuse potential
- Recognition and accountability
- Privacy
- Requirement for funding

In regards to all data, legal frameworks should be observed, such as the Netherlands Code of Conduct for Research Integrity and the internal Knowledge Security Guidelines.

Radboud University promotes data usage under the "FAIR"-principles.

2.3.2 Tilburg University

Document:	Research Data Management Regulation
Published by:	Tilburg University
Published in:	2020
Main addressees:	Staff and Researchers
Main topics:	Data management, ownership, storage, and third-party collaboration
Category:	Data Policy
Practical usefulness:	Well-structured and comprehensive. Offers clear definitions and rules for research data and metadata management.
Pages:	16
Relevant Pages:	4, 13-15

Short Summary:

Tilburg University is a public research university located in Tilburg, the Netherlands, with 19.931 students (as of 2022).

This policy pertains to the Data Management at Tilburg University. Clear definitions on research data and its metadata are given as well as definite rules pertaining to the storage and ownership of data.

In case of collaboration or involvement of third parties with different data management, a prior agreement concerning any and all data has to be secured.

2.3.3   University of Cambridge

Document:	Data Management
Published by:	University of Cambridge
Type of Institution:	Public university
Published in:	n.D.
Main addressees:	Staff and Researchers
Main topics:	Data handling, organization, backups
Category:	Data Policy
Practical usefulness:	Provides a general overview of data management.
Pages:	9

Short Summary:

The University of Cambridge is one of the world's oldest and most prestigious public universities located in Cambridge, England, with 24.700 students (as of 2020/2021).

Extensive information on all Data Management concerns, from creation to usage and up to storing of data. The University of Cambridge promotes data usage under the "FAIR"-principles and puts it focus on the sharing of data.

Helpful advice for staff and researchers on comprehensive data management as well as on collaborating with other research institutions is given, such as instruction on naming and organising data and files as well as cautioning to regularly backup all data.

"ISA Tools" are recommended for tracking metadata and the portal "FAIRsharing" is linked for further information on data standards, databases, and policies.

Risks are not mentioned and no explicit caution in regards to sharing data is given.

2.3.4   Oxford University

Document:	Data Risk Management
Published by:	Oxford University
Type of Institution:	Public university
Published in:	2021
Main addressees:	Staff and Researchers
Main topics:	Risks (financial/reputational), risk assessment and management
Category:	Data Policy
Practical usefulness:	Specific categorization of risks with management strategies. Incorporates templates for risk assessment.
Pages:	5

Short Summary:

The University of Oxford is one of the world's oldest and most prestigious public universities located in Oxford, England, with 26.498 students (as of 2022).

Data Management with strong emphasis on risk management. The document "Guidance on Data Assurance Process and Risk Assessment of External Data Returns" offers further information such as the separation of Risk into "data risk" and "financial/reputational impact risk".

"Data risks" pertain to incomplete or flawed data, which alone may not necessarily have severe consequences for the University. "Financial/reputational impact risks" may result from not identified "data risks" and may have severe consequences for the University.

Risk management is divided into:

- assessing risk (internal templates to determine both kind of risks are recommended to be completed before starting research)
- managing risk (risk management to assess possible risks and prepare risk mitigating actions)
- developing response plans (in case of acceptance of risks, plans outlining actions in regards to negative consequences)

In cases of high possible risk external auditing bodies may be included in risk management.

2.3.5   University of Copenhagen

Document:	Policy for Research Data Management
Published by:	University of Copenhagen
Type of Institution:	Public university
Published in:	2022
Main addressees:	Staff and Researchers
Main topics:	Data lifecycle management, legal and ethical considerations
Category:	Data Policy
Practical usefulness:	Comprehensive coverage of the data lifecycle. Detailed sections on data management plans.
Pages:	11
Relevant Pages:	1-5

Short Summary:

The University of Copenhagen is a public university located in Copenhagen, Denmark, with 36.897 students (as of 2021).

An extensive Data Management policy by the University of Copenhagen can be found on their website. After a short introduction to the topic explanations for each step in the research data's Life Cycle (plan – collect & document – process & analyse – store & secure – share – preserve) are given.

Questions regarding rights to data as well as ethical and legal approvals are comprehensively collected. This includes information regarding data management plans, collection, processing and documentation of data and data sharing.

Risks are briefly addressed; a Risk Assessment is noted as needed in case of sensitive data, which may include personal or ethical data. Data storing and sharing is expected to be done in accordance of the "FAIR"-principles. Roles and responsibilities of all affiliated persons are documented.

As a result, the university does not only focus on the higher ups such as deans or head of departments but also gives advice to students are individual researchers.

2.3.6   Trinity College Dublin

Document:	Data Protection Risk Assessments
Published by:	Trinity College Dublin
Type of Institution:	Public university
Published in:	2021
Main addressees:	Staff and Researchers
Main topics:	Data protection, risk assessment, international data sharing
Category:	Data Policy
Practical usefulness.	Provides comprehensive templates and examples.
Pages:	2 (12)

Short Summary:

Trinity College Dublin is a public university located in Dublin, Ireland, with 18.900 students (as of 2020).

Trinity College hosts an informative site on Data Risk Management with available templates for "Data Protection and Risk Management". The document for Risk Assessment is comprehensive and offers examples of different problems. While a focal point lies on personal data of individuals it does mention international sharing of data and the need for set rules, conditions and rights before international sharing should commence.

Possible risks are expected to be collected, explained and rated. Possible solutions to or mitigations of these risks are expected to be developed as well. The document also raises awareness by having the researchers answer Screening Questions pertaining to individuals, possible legal effects, collection of (personal) data and the processing of (personal and/or sensitive) data. Special emphasis is put on consequences in case of inadequate data protection.

2.3.7 University of Basel

Document:	Research Data Management (RDM)
Published by:	University of Basel
Type of Institution:	Public university
Published in:	n.D.
Main addressees:	Staff and Researchers
Main topics:	Data lifecycle, tools for data organization, legal/ethical support
Category:	Data Policy
Practical usefulness:	Outlines a detailed data lifecycle approach. Provides templates, checklists, and tool recommendations.

Short Summary:

The University of Basel is a public university located in Basel, Switzerland, with 12.896 students (as of 2022).

Overview of Data Management policies at the University of Basel. Divided by the "life cycle" of research data (plan & fund – collect & analyse – preserve & store – publish & share – discover & re-use) it offers information and additional links for each part of the cycle.

Templates and checklists are offered for most steps, such as for making a thorough Data Management Plan (DMP), and information and help pertaining to different situations, such as different tools for data to help organize data depending on the research discipline, are given as well.

Support for legal and/or ethical issues is separately offered by either linking to the appropriate departments or by offering use of a tool "DMLawTool" which enables the researchers through a questionnaire to help determine needed steps for ensuring sufficient data safety. The tool was developed by the Università della Svizzera italiana in collaboration with the University of Neuchâtel within the P-5 program "Scientific Information" of Swiss universities.

2.4   Risk Management

Risk management is about identifying, analysing, evaluating risks and preparing mitigation plans. It should be a continued process to always be up to date with new possible risks and plan ahead to minimize losses and maintain control in case of emergencies.

2.4.1   University of Copenhagen

Document:	INFORMATION SECURITY POLICY
Published by:	University of Copenhagen
Type of Institution:	Public university
Published in:	2020
Main addressees:	Staff and Researchers
Main topics:	Risk impact assessment, data classification, access rights, security incidents, contingency management
Category:	Risk Management
Practical usefulness:	Detailed classifications of data categories and corresponding security measures.
Pages:	15
Relevant Pages:	6-9

Short Summary:

The University of Copenhagen is a public research university located in Denmark with 36.897 students (as of 2021).

The university has developed a Risk Impact Assessment process in accordance with the DIN ISO 27001 norms to ensure appropriate level of research data security. Under this policy, data and information can be classified as "public information", "internal information", "confidential data" or "sensitive data". Definitions are given for each classification. For each classification, different access rights and regulations are defined. For example, "sensitive data" is only accessible by higher management or a similar highly trusted affiliated person, as a breach of confidentiality may result in negative consequences.

In case of external cooperation's, all collaborators have to be made aware of the universities' policies pertaining to the research data and may have to sign agreements such as NDAs or Data Processor Agreements.

Security incidents are handled according to their classifications. A contingency management is in place with tests and updates happening regularly – at a minimum annually.

2.4.2   Manchester Metropolitan University

Document:	Information risk management policy
Published by:	Manchester Metropolitan University
Type of Institution:	Public university
Revised in:	2023
Main addressees:	Staff and Researchers
Main topics:	Risk assessment, evaluation, classification, and mitigation
Category:	Risk Management
Practical usefulness:	Offers a matrix for concrete risk evaluation and classification. Provides actionable recommendations.
Pages:	6

Short Summary:

Manchester Metropolitan University is a public university located in Manchester, England, with 33.420 students (as of 2023).

The information risk management policy stipulates that information risks are to be "identified, managed and treated according to an agreed risk tolerance".

Risk value can be assessed by using a matrix correlating the impact the risk might pose to the university with its likelihood of occurrence. By using this matrix, a concrete value can be assigned to the risk, which in turn enables a faster classification. Classifications come with clear recommendations of mitigating risks.

The tolerance mentioned is not definitive and is rather used to enable the "university's desire to pursue […] business objectives" by tolerating risks to a certain extent without restraining research.

2.4.3 University of Exeter

Document:	Risk Management Policy
Published by:	University of Exeter
Type of Institution:	Public university
Revised in:	2023
Main addressees:	Staff and Researchers
Main topics:	Framework for risk management, compliance, training, auditing
Category:	Risk Management
Practical usefulness:	Comprehensive overview of risk management processes; provides a structured framework for identifying and mitigating risks.
Pages:	9

Short Summary:

The University of Exeter is a public research university located in Exeter, England, with 29.776 students (as of 2022).

The Risk Management Policy of the University of Exeter lays out processes for identifying, managing and mitigating risks. A Council, composed of Risk Committee and Audit, act as the main authority on risk management and is tasked with reviewing risk processes to propose implementation of safer processes.

The policy acts under the "Three Lines of Defence" framework:

- The first line includes compliance with policies and guidelines, risk assessment within respective management areas, implementing risk treatments (avoid, reduce, transfer, accept), risk monitoring, decision-making as well as business and budgeting planning.
- The second line concerns adequate training to enable the identification of risk in the first line. To ensure this, communication should be an integral part of training. Support through competent advisors and thorough policies, procedures and frameworks given by the university are necessary to effectively enable staff to assess risks.
- The third line assesses and evaluates processes through internal and external audits to then improve operations.

2.4.4 University of Twente

Document:	AN ORGANIZATION DESIGN TO IMPLEMENT AND MONITOR INTEGRAL SAFETY MANAGEMENT AT THE UNIVERSITY OF TWENTE
Published by:	University of Twente
Type of Institution:	Public university
Published in:	2020
Main addressees:	Staff and Researchers
Main topics:	Risk identification, scenario analysis, annual safety programs, external audits
Category:	Risk Management
Pages:	103
Practical usefulness:	Detailed recommendations for establishing a safety management system. Includes actionable recommendations like scenario analyses and safety programs.
Relevant Pages:	12-13, 17-18

Short Summary:

The University of Twente is a public research university located in Enschede, the Netherlands, with 12.493 students (as of 2022).

The documentation of the University of Twente's main concerns lie in "identifying, analysing and mitigating potential safety and security risks" as well as facilitating an open knowledge pool on risk management in and for cooperations. A risk table offers expansive and elaborate explanations to possible risks in ten categories ranging from working conditions on campus and data security to Internationalization and Knowledge security. The University is also giving out concrete recommendations to realize an intended Integral Safety Management system. These recommendations include:

- Conduct a scenario-analysis every 3-5 years
- Develop and implement an annual 'plan-do-check-act' program for each of the ten distinguished pillars included in the Integral Safety Management System
- Conduct an analysis of safety and security risk issues that are inextricably intertwined
- Develop and implement an annual UT Security and Safety monitor
- Develop and implement a tailored Integrated Security and Safety training program
- Develop and regularly update a continuity of operations plan
- Conduct an external audit about the state of safety & security management every 3 years
- Implement the proposed organization structure and resources for Integral Safety Management

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