

**An international workshop on ethics and innovation policy for
research assessment
*Best practices for data and AI***

Mongolian Academy of Sciences (MAS)
Ulaanbaatar, Mongolia

Wednesday 13 November 2024

15:00 to 17:00 (ULAT – Ulaanbaatar time); 7:00 to 9:00 am UTC

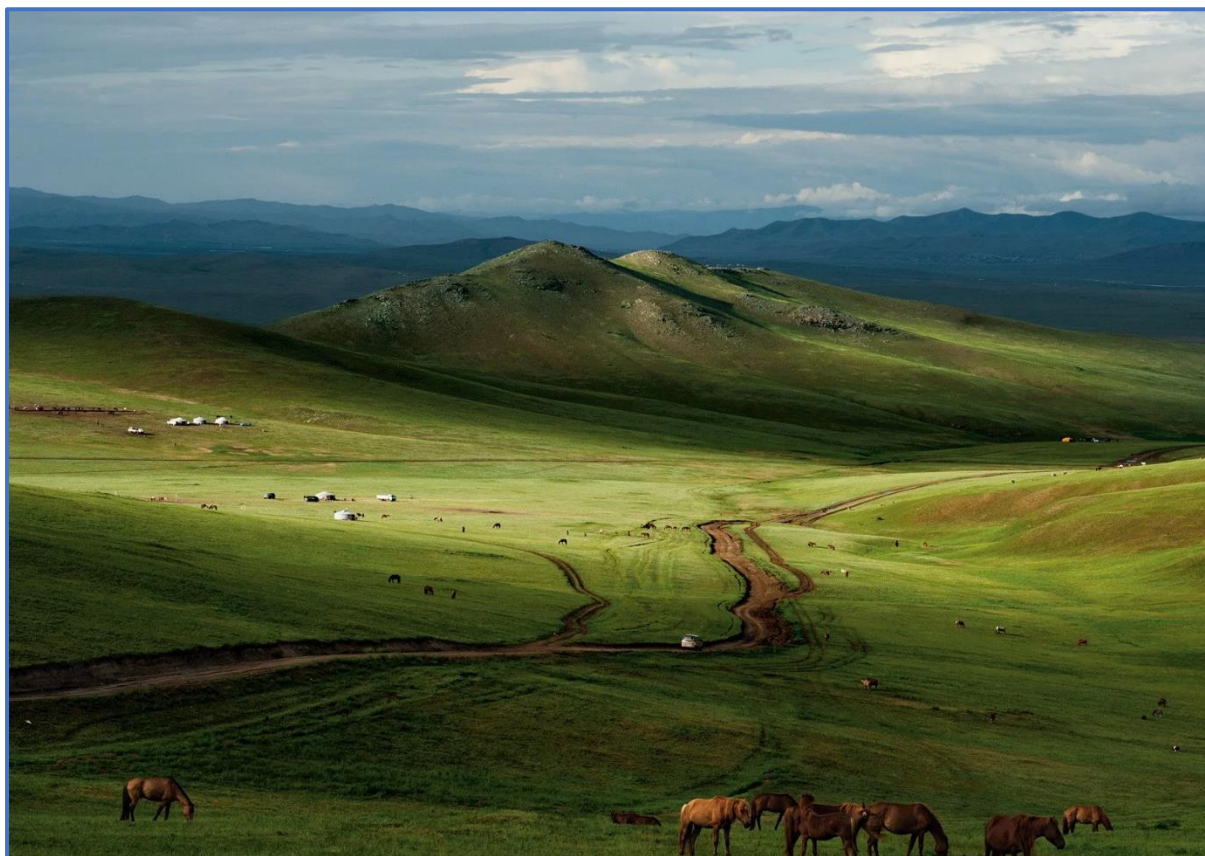
8:00 to 10:00 am CET (Brussels time), 2:00 to 4:00 am EST (Washington, DC time)

In person and online: [Zoom registration link](#)

in cooperation with

CoARA-ERIP; FORCE11 RA4AI; CNIC CAS; International Science Council, CODATA
IDPC; CANGARU; EOSC-Future-RDA AIDV; ALLEA; Academy of Sciences in Belarus
SA NRF & African Open Science Platform (AOSP), Association of African Universities
(AAU) & The Ethical Data Initiative (EDI): University of Exeter & Technical University of
Munich

(Draft programme 11 November 2024; version 9.0)



Introduction to the workshop

In today's rapidly evolving research landscape, scientific publishing faces complex challenges that call for thoughtful and adaptable assessment practices. From the ethical implications of large language models (LLMs) to the recognition of digital research objects like data, algorithms, and software, the need for clear and reliable assessment standards is growing. This workshop, 'Ethics and Innovation Policy for Research Assessment: Best Practices for AI and Data Governance', brings together insights from leading initiatives, including the Coalition for

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Advancing Research Assessment's working group on 'Ethics and Research Integrity Policy for Responsible Research Assessment in Data and Artificial Intelligence' (CoARA-ERIP) and the FORCE11 Working Group on 'Developing Research Assessment Criteria for the Use of AI in Scientific and Scholarly Publications (RA4AI)'. CoARA-ERIP is actively advancing ethical and responsible research evaluation standards, particularly in the digital sphere, where data-driven and AI-assisted methodologies are transforming traditional assessment models. RA4AI, a forthcoming FORCE11 working group, focuses on developing specific guidelines for incorporating AI in scholarly publications, addressing issues like AI's role in authorship, peer review, and content quality.

By integrating the expertise and frameworks of these two groups, this workshop offers a comprehensive look at best practices for the responsible and innovative evaluation of research in the digital ecosystem, with a particular focus on open science. Participants will gain insights into policies that support responsible research assessment and develop practical tools for managing AI's role in scholarly communication. Through presentations, collaborative discussions, and hands-on engagement, attendees will be better equipped to navigate the complexities of data and AI ethics, establish transparent policies and guidance, and apply fair and reliable criteria for evaluating digital contributions in research.

This workshop will feature contributions from several key organizations with expertise in data governance, AI ethics, and research assessment. The Mongolian Academy of Sciences (MAS) will share insights into establishing ethical research assessment frameworks tailored to emerging research communities, discussing the need for practical guidance on implementing standards in diverse academic settings. The CNIC of the Chinese Academy of Sciences (CAS) will present its approaches to data governance, emphasizing policy frameworks that ensure data integrity and transparency in AI-driven assessments. The European Academies of Sciences and Humanities (ALLEA) will present on the revisions to the European Code of Conduct for Research Integrity (2023 Revised Edition) and the discussion on AI. CODATA IDPC will provide guidance on developing a policy-driven approach for ethics and research integrity in the research assessment of digital artifacts. The International Science Council will discuss the global need to reform research assessment. CANGARU will introduce the importance of integrating large language models (LLMs) into research, addressing critical ethical and practical considerations for responsibly managing AI-generated outputs. The Academy of Sciences of Belarus and its partners in Eastern Europe and Central Asia will identify current challenges for academics in AI. AAU and EDI will look at the evolving landscape of education and research assessment in the digital ecosystem. Finally, the EOSC-Future-RDA Artificial Intelligence & Data Visitation (AIDV) Working Group will present guidance for AI ethics, human rights, and accountability, providing participants with digital resources and frameworks for supporting ethical and transparent AI use in research assessments.

Workshop topics

This workshop will focus on the following topics:

1. **Navigating fundamental challenges in scientific publishing**
Explore current challenges in scientific publishing, such as maintaining transparency, quality control, and accountability in a fast-paced, digitally-driven environment. Discuss the pressures and expectations placed on researchers and assessors in ensuring high standards of scientific communication.
2. **Ethical implications of large language models (LLMs) in scientific publishing**
Examine the ethical complexities introduced by large language models (LLMs) in research publishing, including questions around authorship, content originality, and the

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influence of AI-generated outputs. Consider strategies to responsibly integrate LLMs while preserving research integrity.

3. **Recognition and reward systems for digital research objects**
Discuss how digital research objects (such as datasets, software, algorithms, and models) are currently evaluated and acknowledged in research assessments. Address gaps in recognition and explore ways to improve reward systems for digital contributions in scholarly work.
4. **Developing policy standards for digital research assessment**
Identify best practices and policy guidelines for evaluating research in the digital space, with a focus on data governance, transparency, and ethical standards. Consider frameworks that support comprehensive, reliable, and responsible research assessment practices.
5. **Collaborative development of digital tools for research and assessment**
Engage participants in discussing the potential for new digital tools that can enhance research and assessment practices. Explore collaborative approaches for creating resources that facilitate responsible assessment, support transparency, and streamline evaluation processes for digital research outputs.

Agenda

0:00 - 0:10: Welcome and workshop introduction

- **Speaker:** Workshop facilitators: MAS, CNIC CAS, CoARA-ERIP
- Overview of workshop goals, agenda, and importance of ethics and innovation in research assessment, particularly in the context of AI and data governance.

0:10 - 0:20: Keynote: ‘Advancing ethics and innovation in research assessment: a framework for digital transformation in higher education’

- **Speaker:** Prof. Juliet Thondhlana, Head of the AAU Europe Office and UNESCO Chair of Education and International Development (TBC)
- A forward-looking framework for integrating data and AI ethics and governance into higher education, addressing how universities can navigate ethical challenges while fostering responsible research practices.

0:20 - 0:30: Navigating fundamental challenges in scientific publishing

- **Speaker:** Representative from the Mongolian Academy of Sciences (MAS)
- **Description:** Examination of key challenges in maintaining transparency, quality control, and accountability in scientific publishing, especially within emerging research communities. Discussion on the practical steps to develop ethical frameworks tailored to diverse settings.

0:30 - 0:40: The European framework for research integrity and the use of AI in scientific publishing

- **Speaker:** Professor Maura Hiney, Chair, ALLEA Permanent Working Group on Science and Ethics & Member of the Royal Irish Academy
- **Description:** The central role of research integrity in developing education policies for research assessment in the digital ecosystem of science and academia. A focus on the role of the [European Code of Conduct for Research Integrity](#) (2023 Revised Edition).

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0:40 - 0:50: Ethical implications of large language models (LLMs) in scientific publishing

- **Speaker:** Professor Giovanni Cacciamani, Principal Investigator, CANGARU Global Project & Professor Kathryn Bailey, Ethical Data Initiative (EDI) of the University of Exeter & Technical University of Munich
- **Description:** Discussion of the ethical complexities surrounding LLMs, focusing on questions of authorship, originality, and the responsible use of AI-generated content. Strategies for integrating LLMs while preserving research integrity will be explored.

0:50 - 1:10: Recognition and reward systems for digital research objects

- **Speaker:** Professor Valeriia Sokochik, Academy of Sciences in Belarus & ESCO-Future/RDA AIDV-WG & Dr. Dr. Tshiamo Motshegwa, South African National Research Foundation & African Open Science Platform (AOSP)
- **Description:** Exploration of current approaches to evaluating digital research objects, such as datasets and algorithms, in research assessment. Identification of gaps in recognition and suggestions for developing reward systems that acknowledge contributions of digital artifacts.

1:10 - 1:20: Developing policy standards for digital research assessment

- **Speaker:** Dr. Lili Zhang, Computer Network Information Center (CNIC), Chinese Academy of Sciences (CAS) & the Global Open Science Cloud (GOSC)
- **Description:** Presentation on best practices and policy guidelines for responsible data governance in AI-driven research assessment. Emphasis on creating transparent frameworks that ensure data integrity in scholarly evaluations.

1:20 - 1:30: Why research assessment is becoming central to re-envisioning science and education

- **Speaker:** Professor Mara de Sousa Freitas, CoARA-ERIP; Head of Bioethics, Catholic University of Portugal; Member, National Ethics Committee of Portugal & Professor Suzanne van den Hooff, CoARA-ERIP and University of the Humanities, The Netherlands
- **Description:** Exploring what the interdependencies within the researcher assessment, publication metrics, and university ranking systems mean for the future of science. The CoARA-ERIP landscaping of research assessment.

1:30 - 1:55: Interactive discussion: collaboratively designing ethical and transparent assessment frameworks for research in the digital ecosystem

- **Facilitator:** Workshop facilitator
- **Description:** Participants will engage in discussions to brainstorm and outline frameworks that incorporate insights from the sessions with a focus on creating actionable recommendations for best practices for the research assessment of data and AI in science and academia.

1:55 - 2:00: Closing remarks and next steps

- **Speaker:** Workshop facilitators
- **Description:** Summary of key learnings and pathways for future cooperation on research assessment in the digital space.