

10th Meeting of the ICSU
Committee on Freedom and Responsibility in the conduct of Science CFRS
Swiss Academy of Sciences SCNAT
Berne
25-26 May 2011

Meeting Report

Present: Bengt Gustafsson (Chair), Ashima Anand, Ruth Arnon, Fatma Attia, Carol Corillon, Alexander Kaminskii, Peter Mahaffy, Sylvia Rumball, Akilagpa Sawyerr, John Sulston, Ovid Tzeng, David Vaux, Moisés Wasserman

ICSU Secretariat: Roger Pfister (*ex officio*), Carthage Smith (*ex officio*)

Guest: Bob Campbell (Wiley-Blackwell Publisher, agenda item 11.10 on day 2); Eleanor Wittmer (MA student ETH Zurich, day 1 only)

Apologies for absence: Maurice Tchuente, Jiansheng Zhang

1. Welcoming remarks and introductions

The CFRS Chair expressed his thanks to R Pfister and the Swiss Academy of Sciences (SCNAT) for hosting this meeting and for organising the international workshop on Access and Benefit Sharing (ABS) adjoined to the CFRS meeting. Networking events were held with representatives of SCNAT, the Swiss Academies of Arts and Sciences, the Swiss National Science Foundation (SNSF) and other stakeholders of pertinence to CFRS' work.

Ms Eleanor Wittmer was welcomed as a guest to the CFRS meeting on day one. Enrolled as an MA student at the ETH Zurich, she was writing a history of the work of the CFRS and its predecessor committees (see agenda item 5.).

R Arnon would be joining the meeting in the early afternoon of day one.

Decisions

- to thank SCNAT and R Pfister for hosting the CFRS meeting;
- to welcome E Wittmer as a guest to the meeting.

2. Adoption of agenda

Members and the guest were reminded that the meeting report would be made public, but the individual meeting documents were strictly confidential.

Decisions

- to adopt the agenda;
- to note that meeting documents are confidential.

3. Report of the 9th CFRS meeting and matters arising

The Committee took note of the report of the previous CFRS meeting in Bogotá. All issues that arose from that meeting would be dealt with at the relevant agenda items during the current meeting.

Decision

To note the meeting report.

4. ICSU/CFRS website

The new ICSU website, which went online on 1 March 2011, and its functionalities were presented online to the committee members, highlighting the much-improved visibility of CFRS' mission and work. Members were informed that the documents related to biosecurity, visa assistance to scientists going to the United States as well as guidelines for organisers of international scientific meetings were still going to be transferred from the old website onto the new one. The blogging facility would be put in place in the near future, allowing comments on CFRS Advisory Notes and other work.

Regarding the visa problems, CFRS members asked to include on the ICSU website a link to the International Visitors Office of the National Academies (<http://sites.nationalacademies.org/PGA/biso/visas>), which contains useful information for scientists wishing to attend scientific meetings in the United States as well as direct assistance to scientists who encounter visa difficulties.

Decisions

- to note the new ICSU website and CFRS section;
- the Secretariat to put in place a blogging facility on the ICSU website;
- the Secretariat to make available on the ICSU website the remaining information and documents related to CFRS' work.

5. SCFCS/CFRS Archives

The archives documenting the work of the Standing Committee on Freedom in the Conduct of Science (SCFCS), the predecessor of the CFRS from 1993 to 2006, were stored in the personal archive of Peter Schindler (SCFCS/CFRS Executive Secretary, 1997-2007), in Zurich. They covered the period from roughly 1965 to 2007, thus making traceable the history of SCFCS, CFRS and its predecessor – the Standing Committee on the Free Circulation of Scientists (SCFCS).

Ms Eleanor Wittmer, a Master's degree student at the ETH Zurich, has begun to research these archival holdings to write a history of SCFCS/CFRS as part of the course "History and Philosophy of Knowledge". To permit and facilitate this work, the documents had been transferred in January 2011 to the Archive for Contemporary History at the ETH Zurich, which is equipped to appropriately and securely safeguard them. Having commenced her work in April, Ms Wittmer had by now consulted all printed documents and had conducted interviews with both P Schindler and R Pfister. Further oral history with relevant stakeholders will be facilitated by ICSU, if necessary.

Ms Wittmer was taking part in the CFRS meeting to get an insight into the committee's work and to discuss the scope of her study with members. Focusing on the Cold War period, it would provide a history of the committee's predecessors and their particular role in resolving

individual cases. Beyond this, it would consider the relationship between science and society and how the perception of science had changed over time.

Subsequent to the completion of the study towards the end of 2011, the ICSU Secretariat would ensure the transport of the archival documents to a final location. It was clarified that the archives were formally the possession of ICSU. Negotiations were underway with a Swedish institution, where the documents would be accessible for further research.

CFRS members and the ICSU Secretariat welcomed the initiative of Ms Wittmer to write this history. In doing so, they requested that names related to individual cases be treated with confidentiality, just like any other information whose mention might cause harm. Ms Wittmer was therefore also requested to submit the manuscript of her study, which she would write in English, to both C Smith and R Pfister for consultation. This would facilitate a possible publication of her findings, which would require written permission of ICSU. CFRS members noted that the compilation of an inventory of the documents would be helpful and beneficial for further research.

Decisions

- to welcome the initiative of Ms Wittmer writing a history of SCFCS/CFRS;
- R Pfister to follow the progress of the study.

6. Freedom of science issues

6.1 Individual cases: update on past cases

IUGG Workshop, USA: the ICSU Secretariat contacted the US National Academies over the case of five scientists from Greece, India, Mexico and Ukraine who could not attend an IUGG Workshop in California in October 2010, due to delayed issuing of their visas. US-NAS had helped with these cases at the time, but the US government does not reopen files of past cases and so no additional information could be obtained now.

IUPAC 11th Eurasia Conference, Jordan: the 11th Eurasia Conference on the Chemical Sciences at the Dead Sea in Jordan in October 2010 took place without any Israeli representation among the more than 100 invited speakers. According to initial CFRS enquiries, IUPAC was aware that this could be seen as intentional to exclude Israeli scientists. As this would be in contradiction to the ICSU Principle of the Universality of Science, it was agreed that more information should be obtained from IUPAC as to whether any Israeli scholars had been invited and whether there was any interest from Israeli scholars in participating.

Jameel Zayeed, Israel: this Cambridge PhD student was prevented from entering Israel in 2009. After initial enquiries of the ICSU Secretariat during 2010 with the UK Royal Society, J Sulston, in his capacity as a member of the UK Academies Human Rights Committee (HRC), initiated a letter of enquiry, despatched on 27 January 2011, to the Israel Academy of Sciences and Humanities to obtain further information. The Israel Academy informed the UK HRC in writing on 10 April that, according to their enquiries with the relevant authorities, the entry denial to J Zayeed was "based solely on the judgement of the security bodies". CFRS members considered that a general reference to security issues was not sufficient and that it was necessary to insist on receiving more specific information. It was therefore decided that the CFRS Chair would write to the Israel Academy of Sciences and Humanities for further enquiry, with a copy to the UK HRC.

UNESCO-Obiang Nguema Mbasogo International Prize for Research in the Life Sciences: at the 9th meeting, CFRS members were informed that the UNESCO Board had decided on 21 October 2010 to "indefinitely suspend" this award. In a letter dated 30 September, CFRS had

asked UNESCO to dissociate itself from the prize. The UNESCO Assistant Director-General for Natural Sciences formally acknowledged receipt of the letter on 30 December. At its meeting on 9 May 2011, the UNESCO Executive Board declined to consider a request by the Obiang government to reverse its previous decision. Because the award was not cancelled entirely, however, CFRS asked to be kept informed about future developments in this regard.

Pham Minh Hoang, Vietnam: this mathematician with double Vietnamese-French nationality was arrested by the Vietnamese authorities in August 2010, apparently because he signed a petition against a controversial bauxite-mining site in the country. In January 2011, the ICSU Secretariat renewed enquiries with both the ICSU Regional Office for Asia and the Pacific as well as with the International Human Rights Network of Academies and Scholarly Societies for more information, the responses to which did not suggest further CFRS action.

Binayak Sen, India: the case of this Indian medical doctor/paediatrician and human rights advocate, imprisoned in May 2007 and subsequently charged with terrorist offences, was first considered by CFRS in May 2008. Action it took during 2008 were informal communications with State officials and a letter to the Indian National Science Academy for their view. In May 2009, the Supreme Court granted his unconditional release on bail, whilst trial by the State Government was ongoing. In late 2010, he was sentenced to life in prison. Then, in April 2011, CFRS was informed that the Supreme Court gave him bail and that he was released from prison, while the High Court in Chhattisgarh considered his appeal. However, in its decision, the Supreme Court criticised the State's case against Sen for lack of evidence, presumably making it more difficult to justify the High Court's prosecution of the case in future. In light of these developments and based on background information provided by C Corillon, CFRS decided that no action on its part was required at present.

Javad Rahighi, Iran: this Iranian physicist, who was involved in the Jordan-based SESAME Project, had been exposed to restrictive measures since 2008, when the European Union denied him access because of purported links with Iran's atomic energy programme. J Rahighi has unsuccessfully tried to challenge this situation by taking his case to the relevant legal and political instances of the European Union. Telephone communication of R Pfister with the Secretary General of the International Union of Pure and Applied Physics (IUPAP) in February 2011, who said he would contact its national member in Iran, did not result in any further information. On 19 April, while participating at an international symposium in Washington DC (see agenda item 11.2), R Pfister had personal communication with Herman Winick, who had played an important role in the establishment of the SESAME Project in Jordan. Knowing J Rahighi's case, he expressed great concern, indicating he would provide any assistance necessary to CFRS if it were to consider further action. At the meeting, C Corillon provided several documents that would indicate a possible case of mistaken identity. It was decided to ask the Secretariat to pursue the case, especially with regard to the United Nations and the European Union, as well as to establish whether and what kind of action SESAME had taken.

Decisions

- *IUGG Workshop, USA*: to note the correspondence and that no further action was required;
- *IUPAC 11th Eurasia Conference, Jordan*: for P Mahaffy and the CFRS Chair to write to IUPAC to obtain more specific information;
- *J Zayeed, Israel*: the CFRS Chair to write to the Israel Academy of Sciences and Humanities for more specific information;
- *UNESCO-Obiang Nguema Mbasogo International Prize for Research in the Life Sciences*: the Secretariat and the CFRS Chair to write to UNESCO to be updated on future developments;
- *Pham Minh Hoang, Vietnam*: C Corillon to follow the case and report on any progress made by the International Human Rights Network;
- *B Sen, India*: to note recent developments and that no action was required at present;
- *J Rahighi, Iran*: the ICSU Secretariat to pursue the case further.

6.2 New individual cases

Xue Feng, China: Xue Feng, a University of Chicago PhD in geology and naturalised US citizen, has worked as the Northeast Asia manager for Colorado-based IHS Inc., “a leading provider of market and business advisory services for the worldwide petrochemical (...) industries” according to their website. In July 2007, while in China to purchase a commercial database on the country’s oil resources for his employer, the Chinese authorities arrested him, keeping him imprisoned under allegedly unlawful and substandard conditions during the following two years. In May 2009, X Feng was charged with “gathering intelligence” and “unlawfully sending abroad state secrets”, which was the justification for his conviction in July 2010. He was sentenced to eight years imprisonment in addition to the 30 months already spent in detention. An appeal was rejected in March 2011. Mr Feng was reported to be suffering from a serious heart condition. It was agreed that this was a human rights case that was not related to activities in the science area and did not really fit within the remit of CFRS.

Maksim Popov, Uzbekistan: Maksim Popov, a psychologist from Uzbekistan, a country with one of the world’s fastest-growing HIV infection rates, was also the Executive Director of IZIS, an NGO dedicated to educating the public about how to protect against and curb the spread of HIV/AIDS, including the distribution of brochures published by UNICEF. This work was supported by UNICEF, the Global Fund, UNAIDS, UNDP and other international organisations. M Popov was arrested in January 2009 and subsequently charged with embezzlement of funds received from international donors, although no evidence to this effect was produced, and “involving underage persons in anti-social behaviour”. In May/June 2010, he was sentenced to seven years in prison. According to correspondence between Chairman of the National Academies’ CHR and senior UNICEF officials, M Popov was only one case of some 50 health workers having been charged with criminal offences, this being of great concern to UNICEF and other UN agencies. Given the lack of tangible evidence in this case, the ICSU Secretariat was asked to write to its national member in Uzbekistan, with a copy to the International Union of Psychological Science (IUPsyS), to obtain more information. If possible, a copy of the brochure that M Popov had been using was requested also.

Decisions

- *X Feng, China:* CFRS action would be inappropriate, as this case is not related to the conduct of science;
- *M Popov, Uzbekistan:* the Secretariat to write to the ICSU Member in Uzbekistan, with copy to the IUPsyS, to obtain more information on the case.

6.3 Scientific autonomy and academic freedom

Concerns reported by a number of sources about cases of politicisation of science in several countries around the globe. In Venezuela, research funding was increasingly restricted and available only for projects that aligned closely with national policies. Iran and Turkey appear to have had similar issues relating to the political and/or religious independence of universities. In Bahrain, the freedom of academics to speak out on political issues was under threat and university staff not considered “loyal” to the government were being dismissed. In China, government authorities were putting tighter curbs on campus activities that could be deemed political. In the United Arab Emirates, concerns have been voiced over the detention of a lecturer who had been critical of corporate practices.

At the University of Virginia in the United States, a freedom of information request was directed at a scientist to obtain personal e-mails, handwritten notes and other correspondence generally understood as private personal documents. The University authorities were resisting this request.

Most seriously, in Iraq, close to a dozen of scientists had been assassinated in the first few months of 2011 as part of what could appear to be a targeted rise in violence, specifically

aimed at scientists.

Common to all of these issues was that academic freedom and scientific autonomy were being encroached upon, which was counter to the Principle of the Universality of Science. Greatly concerned by the specific cases above, CFRS members considered developing a broader initiative on ICSU's role in ensuring academic freedom and scientific autonomy. This should be an item for discussion at the next CFRS meeting.

Decision

C Smith, C Corillon, P Mahaffy and A Sawyerr to develop ideas for an initiative on academic freedom and scientific autonomy for discussion at the next meeting.

6.4 Individual cases: role of CFRS

The Secretariat had been asked to draft a text that would suitably describe CFRS' role in providing assistance for individual cases, and which would be made available on the ICSU website. In this context, it was also asked to produce a document with more detailed information regarding the source(s) for the referral of individual cases, the criteria for CFRS involvement and potential actions. Both documents were put to members for consideration.

Members pointed out that some of the wording needed more clarification. The Secretariat was requested to rework both documents, circulate the one on CFRS' role among CFRS and take the other to the 11th meeting for consideration.

Decisions

- the Secretariat to rework the document describing CFRS' role in dealing with individually reported cases and circulate it among CFRS;
- the Secretariat to rework the document on the case selection criteria and put it to CFRS at the next meeting.

6.5 Compendium of human rights instruments from multilateral political organisations with special relevance to science and scientists

The Secretariat had been asked to further restructure and develop the compendium of human rights instruments, originally compiled as a basis for a CFRS Advisory Note on the matter. The focus was on multilateral and regional agreements. The ICSU Regional Offices were consulted to broaden the base and include sources from their regions. Jessica Wyndham, Project Director for the Science and Human Rights Program at the American Association for the Advancement of Science (AAAS) (see agenda item 6.4) had kindly provided an introductory text outlining the pertinence of these compiled legal documents and their relevance to the work of CFRS. Both documents were welcomed and the Secretariat was asked to make them available on the ICSU website for comments.

Decisions

- to welcome the compendium of compiled legal documents;
- the Secretariat to make the compilation available on the ICSU website.

6.6 Activities of the AAAS Science and Human Rights Program

The AAAS Science and Human Rights Program (SHRP) works with scientists to advance science and serve society through human rights, carrying out its mission through four activities:

- scientists and scientific associations for human rights: provides opportunities for scientists to work with the human rights community. 46 organisations are currently members in

its Science and Human Rights Coalition and 570 experts are registered in a database for this purpose;

- science for human rights: applies scientific tools and technologies to enhance human rights work, an example of which is pursuing advanced applications of geospatial technologies;
- human rights and the conduct of science: fosters awareness of and respect for internationally recognised human rights norms among the scientific community and the public, to consider the human rights implications of new technologies and scientific discoveries as well as science policy and practice;
- science as a human right: this promotes the human right to enjoy the benefits of scientific progress, such as stipulated Article 15 of the International Covenant on Economic, Social, and Cultural Rights.

The SHRP receives guidance and general oversight from the AAAS Committee on Scientific Freedom and Responsibility (CSFR).

C Smith detailed that on the occasion of the AAAS meeting in February, he spent a day with the CSFR. The question had arisen previously as to whether CFRS would join the Science and Human Rights Coalition. Even though the SHRP and the CSFR have similar objectives, the SNRP remit was mainly national. CSFR had a major focus on biomedical and animal rights, but also deals with research integrity. An ongoing exchange of information would be useful.

Decisions

- to note the work of the AAAS Science and Human Rights Program;
- to consider future interaction when appropriate.

7. Interaction with other academy institutions

7.1 All European Academies ALLEA: workshops

In late 2010, the Executive Director of the All European Academies (ALLEA) approached both the CFRS Chair and Executive Secretary by e-mail regarding the joint organisation of thematic workshops. ALLEA, founded in 1994, currently brings together 53 academies in the sciences and humanities in 40 European countries. The reason for the ALLEA initiative was the concern that many activities in umbrella organisations of different kinds, in Europe and worldwide, occurred in parallel and often were not connected. Of particular interest to ALLEA would be the CFRS workshops scheduled to take place in North Europe until 2014 (see agenda items 11.4, 11.6-11.8), as their themes relate to the activities of the ALLEA Standing Committee on Science and Ethics.

The CFRS Chair noted that interaction with ALLEA had already taken place on issues of common interest, for example through his participation at and contribution to the ALLEA Symposium "Strengthening Scientific Integrity: Towards a European Code of Conduct? The role of the European Academies" in June 2009. C Smith added that CFRS was potentially interested in partnerships with any other scientific organisation as long as this implied equal participation and involved a new issue with an added value for both partners. For this reason, the CFRS Chair had accepted an invitation from ALLEA to present the CFRS activities at the next meeting of their Steering Committee/Executive Board on 14-15 June. A main focus of this meeting would be to examine the role of ethics committees and how they work.

Decision

The CFRS Chair to present CFRS' activities to the ALLEA Steering Committee.

7.2 InterAcademy Panel IAP: research integrity

The InterAcademy Panel, the global network of science academies, was launched in 1993 and its secretariat is based in Trieste, Italy, hosted by TWAS, the academy of sciences for the developing world. Its stated primary goal was to help member academies work together to advise citizens and public officials on the scientific aspects of critical global issues. IAP was particularly interested in assisting young and small academies achieve these goals.

In February 2011, IAP contacted its members to enquire about their activities related to the issue of research integrity. This initiative was based on discussions at its Executive Committee according to which IAP “should be striving to develop, publicise and uphold standards for dealing with misconduct in science”. The e-mail sent to IAP members further indicated that “IAP should address this issue in the future to discuss best practices, produce guidelines, and identify ways to sensitize academies”.

From a CFRS perspective it was considered helpful if IAP would also promote CFRS’s work on the matter, including the Singapore Statement of 2010. Relevant documents should therefore be shared with IAP.

Decision

The Secretariat to send IAP documentation on CFRS activities on research integrity.

7.3 World Science Forum, 16-19 November 2011

The World Science Forum (WSF) is a biannual event initiated and organised by the Hungarian Academy of Sciences in co-operation with UNESCO, ICSU, AAAS and the European Academies Science Advisory Council (EASAC). The next meeting, to take place in Budapest on 16-19 November 2011, is going to focus on “The Changing Landscape of Science: Challenges and Opportunities”. ICSU being a co-organiser, there would be several ICSU speakers, including President-Elect Yuan Tseh Lee, and a session would be organised on Foresight. Several CFRS members had received invitations to participate at the WSF 2011.

Decision

To consider participation of a CFRS Member in the session on ICSU’s Foresight.

8. ICSU Strategy

8.1 Foresight

The ICSU Foresight exercise and development of four exploratory scenarios was presented at the last CFRS meeting and valuable insights were provided. In April 2011, a workshop was held to build on these scenarios and to develop a ‘success scenario’. The steps that ICSU would need to take to help achieve this success scenario over the next two decades were also considered. This document was now put to the CFRS to obtain comments. C Smith clarified at the outset of the discussion that the scenarios were not a prediction of the future, but that they considered options that could happen, and how science and ICSU might position itself in this regard.

Comments by CFRS members touched upon several issues. In general terms, it was found that the wording and terminology should be refined, notably by making clear the character of the document, by avoiding time flipping between the present situation and a possible future scenario, and by specifying that the term “interdisciplinary” was understood as bringing together the natural, social and engineering sciences. Regarding the contents, members asked that the issues of energy, food, water and population growth be more explicitly included. They further pointed out that the responsibility of science is to contribute toward meeting hu-

man needs and, thereby, reduce global inequities. As it currently stood, the success scenario did not address the issues of less developed countries. Education in, through and about science should also be integrated into the scenarios. Finally, CFRS expected that the scenarios would also broach the issue of ICSU's relationship to other organisations representing science at the global level.

C Smith thanked CFRS members for their constructive contributions to an exercise that was designed to stimulate a discussion about ICSU's future role. For this purpose, the revised document would go to ICSU Membership for consultation and be discussed in a forum prior to the General Assembly in Rome in September. The final version would be published.

Decisions

C Smith to incorporate the issues raised by CFRS into the Foresight document.

8.2 Strategic Plan, 2012-2017

CFRS provided comments on an earlier version of the ICSU Strategic Plan, 2012-2017, at its previous meeting. The version put to CFRS members at the present meeting was revised and more complete, but did not yet include reactions from the ICSU Membership. CFRS considered and provided additional comments to this draft. It was suggested that some activity in the science-policy domain include, for example, organising summer schools for young politicians, at which scientists from various disciplines would introduce them to international science and raise their awareness about its importance, activities and functions.

Decisions

C Smith to integrate CFRS comments into the Strategic Plan as appropriate.

9. ICSU Statute 5

At its Bogotá meeting, CFRS noted the ICSU Executive Board's approval of its proposed revisions to Statute 5, with only one minor suggested modification, replacing "gender, sex" by "gender, sexual orientation". The Secretariat circulated the new wording in December 2010 to the ICSU Membership for consultation. Comments and proposals for change on specific wording aside, the responses were generally positive. The International Mathematical Union (IMU) proposed one major change, namely to replace "Universality of Science" with "Freedom and Responsibility in the Conduct of Science".

At the end of March 2011, the collected and synthesised responses were put to the CFRS Statute 5 Sub-Group composed of P Mahaffy (lead), B Gustafsson, C Corillon, S Rumball, A Sawyerr, M Tchuente and O Tzeng for consideration. Their work resulted in a revised version with the new title "Principle of Freedom and Responsibility in the Conduct of Science (Universality Principle)". The new wording was tabled at the ICSU Executive Board (EB) meeting on 17-18 May. C Smith now reported that the EB was satisfied with the new version. However, considering the Principle to be a cornerstone of ICSU's role, it did not agree to change the title. At the same time, there was understanding for CFRS' reasoning, which is why the EB suggested to include "Freedom and Responsibility in the conduct of Science" in parentheses.

The new version (see Annexe 1) will be presented to the upcoming ICSU General Assembly in September.

Decisions

To adopt the proposal for the new title made by the ICSU Executive Board.

10. Statement on Gene Patenting

A virtual working group composed of J Sulston (lead), R Arnon, S Rumball, A Sawyerr and D Vaux was asked to revise the ICSU Statement on Gene Patenting of 2002. C Smith facilitated this process and a revised version was sent to the Presidents, Secretaries General and contact points of the ICSU Biological Unions in March 2011. In the interim, the ICSU Secretariat added a disclaimer on the ICSU website whereby the 2002 statement was outdated and in the process of being reworked.

At the meeting, J Sulston noted that remarks from the Unions had been positive overall. C Smith pointed out that the original statement had been restructured to make it more in line with other CFRS Advisory Notes, while remaining faithful to the group's proposed wording. Considering that the field of gene patenting was constantly changing, it was proposed that a normative clause should be added in the final paragraph to ensure the statement would still be applicable in the future and in which the balance regarding the societal benefits would be expressed appropriately.

Decision

C Smith and J Sulston to finalise the draft statement and circulate among CFRS members.

11. Workshops / Advisory Notes

11.1 Science communication (Bogotá, Colombia)

Immediately following the 9th CFRS meeting, a two-day "Forum Science Communication: Responsibilities of the Scientific Community and the Media" had taken place. CFRS members met following this event to draft an Advisory Note on the relationship between science and the media, with a focus on freedom and responsibility issues. A revised version was adopted in subsequent e-mail communication and made available online on the ICSU website on 21 December.

C Smith noted that the Advisory Note had considerable impact in that it attracted media interest with an article by David Dickson in SciDev.net on 31 December. CFRS was encouraged to continue producing Advisory Notes relevant to its work and through which it could reach out to the broader science community.

M Wasserman added that the process of transcribing the contributions to the meeting was underway and that they would be put together in a publication.

Decision

- to note the impact of the CFRS Advisory Note on Science Communication;
- for M Wasserman to inform CFRS about the progress of the publication.

11.2 International sharing of scientific data: a focus on developing countries (Washington, DC, USA)

CFRS was involved in sponsoring the International Symposium "The Case for International Sharing of Scientific Data: A Focus on Developing Countries". Organised by the US National Academies Board on International Scientific Organizations (BISO) and the US Committee on Data for Science and Technology, under the Board on Research Data and Information (BRDI), it took place in Washington on 18-19 April 2011.

The following members, both of ICSU entities dealing with data and information issues and of CFRS, participated at the symposium, giving ICSU high visibility and adding the freedom and responsibility aspects to the issues discussed:

- *CFRS*
 - B Gustafsson: Paper “International Scientific Organizations”
 - C Corillon
 - R Pfister: Introduction to and Chair of the Session “The Limits and Barriers to Data Sharing”
- *Committee on Data for Science and Technology (CODATA)*
 - Robert ‘Bob’ Chen (Secretary General)
- *Strategic Coordinating Committee for Information and Data (SCCID)*
 - Barbara Andrews (member): Chair of the Session “Compelling Benefits”
 - Bob Chen (member)
- *World Data System (WDS)*
 - Yasuhiro Murayama (International Programme Office): Paper “Data centers”

The symposium discussed the barriers and challenges to international data access and sharing, with a special focus on developing countries, where researchers were affected most by these challenges, especially with regard to: limited access to research results published in scientific journals; lack of norms and traditions for open data sharing for collaborative research; governments treating publicly generated or publicly funded research data either as secret or as commercial commodities; and lack of local data centres or digital repositories for researchers to submit their data.

The above-mentioned ICSU representatives, except B Andrews, met at the end of the symposium to discuss a draft CFRS Advisory Note prepared by R Pfister. A revised version was subsequently circulated among these contributors, including B Andrews as well as P Uhler from the National Academies, for consultation. This version and the comments obtained were submitted to CFRS members at the meeting for consideration.

There was agreement that the Advisory Note should deal with data only, and not include information. It was also argued that applying the Principle of Universality to the sharing of data with developing countries would also have to include the aspect of reducing inequality. The technical means, for example, had to be available to scientists to actually be in a position to access data. At the same time, the Advisory Note should make some reference to the significance of data and to what extent access to data would promote development and thereby reduce inequality.

Decisions

- the Secretariat to revise the draft and subsequently circulate it among CFRS members for consideration;
- the Secretariat to obtain the approval of CODATA and WDS to make it a joint Advisory Note;
- the Secretariat to make the final Advisory Note available online on the ICSU website with a blogging facility.

11.3 Access to genetic resources and the sharing of benefits arising from their utilisation (Berne, Switzerland)

Following the present CFRS meeting, a workshop organised in partnership with the Swiss Academy of Sciences on the Access and Benefit Sharing (ABS) system took place on 27 May. CFRS had agreed to this at its Bogotá meeting, given that the subject related to the freedom of scientists to access information and research materials and to their responsibility to ensure open and equitable access to research results and benefits.

During March and April 2011, the draft workshop documents, i.e. the programme, synopsis and an Advisory Note, were circulated to DIVERSITAS and the International Union of Biolog-

ical Sciences (IUBS), to all speakers, to the ICSU Regional Offices and to CFRS members for their comments and input. The updated programme with synopsis and the revised Advisory Note were again put to CFRS for consideration at the meeting, where the following concerns were raised:

- include a reference to ICSU's Statute 5 as the guiding principle to provide the link between the ABS system and CFRS' work;
- clarify the nexus between non-commercial and commercial research, as this was critical for the successful implementation of the ABS system;
- give more prominence to the responsibilities of scientists in the ABS system;
- change the term "recommendations" to "engagement" when talking about the role of governments.

While the ABS system was of relevance to CFRS' work, the Advisory Note needed to be worked on further for the Committee to be in a position to adopt it.

This was further confirmed by the information and contributions provided by the presenters during the ABS Workshop on 27 May, at which all CFRS members took part. Speakers were scientists from both developed and developing countries, detailing their experiences with the ABS system. Representatives of DIVERSITAS and IUBS as well as the former Co-Chair of the Convention on Biological Diversity Working Group on ABS, focused on the role of international organisations.

P Mahaffy as the moderator of the concluding session summarised the main points that were raised during the workshop and circulated them to CFRS members for comment. R Pfister was asked to collect their comments and, together with the ABS team of the Swiss Academy of Sciences, propose a revised Advisory Note to CFRS prior to, or at, the next meeting.

Decisions

R Pfister to assemble comments of CFRS members on the Advisory Note and propose a revised version prior to or at the next meeting.

11.4 Private sector – academia interactions (Stockholm, Sweden)

Following the Bogotá meeting, the CFRS Chair met with members R Arnon, S Rumball, J Sulston and O Tzeng to sharpen the focus of the workshop to be held in Sigtuna, Sweden, on 22-25 November 2011. B Gustafsson reported that preparations were well underway: the scope of the workshop and other relevant material had been put online on the ICSU website in early April; financing was secured; the main programme was decided upon and would be sent out separately; preliminary invitations to speakers had been despatched in April; and invitations to participants were being distributed by normal mail.

Responses of invited speakers were coming in only rather slowly, allowing CFRS to reconsider some of the names, decide on additional participants and speakers as well as on possible modifications of programme. For this purpose, the CFRS Chair convened a separate meeting with members prior to the ABS Workshop on 27 May to obtain their input. An updated programme was sent to CFRS members subsequent to that meeting.

Decisions

To approve the draft agenda for this workshop and provide suggestions for replacement presenters.

11.5 3rd World Conference on Research Integrity

The third World Conference on Research Integrity (WCRI) is planned for 2013. The Secretariat had been asked to contact the main organisers. When participating at the AAAS Annual

Meeting in Washington in February 2011, C Smith briefed Nicholas Steneck (Co-Chair, 2nd WCRI) about CFRS' views regarding the issues that might be examined at the next conference. The organisers were still looking for a location, as the original choice, Alexandria in Egypt, was uncertain due to the country's changing political situation.

D Vaux had contact with Melissa Anderson (Chair, 3rd WCRI Organising Committee), and was prepared to serve on the organising committee for the 3rd WCRI. C Smith would write to M Anderson to reiterate CFRS' interest and support D Vaux's nomination.

Decisions

- to maintain CFRS' interest in remaining involved in the organisation of a 3rd WCRI;
- C Smith to write to Melissa Anderson and propose D Vaux as a member of the organising committee.

11.6 Science in contemporary wars (Sweden)

Because of funding problems, the planning of this workshop was stalled. Funding had been applied for in autumn 2010 from the Folke Bernadotte Academy. However, a reply from its director in May 2011 made it clear that this Swedish government agency would not support the workshop. The director of an important co-organiser, the Dag Hammarskjöld Foundation, indicated that some funding might be available. A letter, endorsed by the Swedish Pugwash Group, was sent to Pugwash International to establish whether their support could be obtained. At the meeting, O Tzeng indicated the possibility of additional funding from China: Taipei.

B Gustafsson had recently produced a publication on the issue,¹ and was keen to pursue the workshop idea. It was agreed that the publication, which arose out of earlier CFRS discussions, should be made available on the CFRS website.

Decisions

- the CFRS Chair to update on the progress with this workshop;
- to provide a link to the publication "scientists in contemporary wars" on the CFRS website.

11.7 Science and policy advice (Denmark)

The CFRS Chair reported on developments with this workshop in Denmark. He has taken part in two committee meetings, chaired by Hans Thybo of Royal Danish Academy of Sciences and Letters, so far. The workshop would aim at using climate change as an example of science advice to policy. The planned date for the workshop was between August and November 2012, the date depending on the availability of the EU Commissioner for Climate Action, Connie Hedegaard, from Denmark.

To use climate change as an example to examine science-policy relationship was considered to be of interest to ICSU generally speaking. C Smith also mentioned the preliminary plans for a meeting to compare practices by different ICSU National Members working on climate change. For CFRS to maintain its interest and involvement in the Danish workshop, the freedom and responsibility aspects should be clarified. It was important to obtain more background on the objectives of the workshop and a preliminary programme.

Decisions

The CFRS Chair to update on the progress with this workshop.

¹ "Scientists in contemporary wars", *Development Dialogue* (Dag Hammarskjöld Foundation), 55, March 2011, p. 13-31 <www.dhf.uu.se/wordpress/wp-content/uploads/2011/03/dd55_web_art2.pdf>.

11.8 Science and anti-science (Norway)

The CFRS Chair provided more information on this workshop, which was planned by Niels Christian Stenseth of the Norwegian Academy of Science and Letters. Over time, the concept and the scope of this event have changed, from “Science and religion” to “Science and anti-science”, due also to a change among the Norwegian initiators. To advance the slow progress, a preparatory meeting “Can we rely on science” was scheduled to take place on 9-10 November 2011, at which B Gustafsson intended to participate. The intention to make the workshop happen was still there, and to hold it in 2012 was still realistic.

CFRS stated that it would be important to have more details about the scope of the event and a concept note to this effect.

Decisions

The CFRS Chair to update on the progress with this workshop.

11.9 The knowledge divide (China: CAST / China: Taipei)

In the absence of J Zhang, O Tzeng provided information on developments related to this proposed workshop. As proposed at the CFRS meeting in Bogotá, he contacted TWAS, since the subject also concerned the science and education divide, which affected the developing countries. TWAS had shown an interest, but there was no specific agenda available at present. O Tzeng would pursue contacts with TWAS.

Decisions

To note developments related to this workshop.

11. Science Publications

11.10 Publication/author bias and peer review process

D Vaux

D Vaux introduced the issue of publication/author bias and how this could be reduced through double-blind peer review processes at the previous CFRS meeting. It was then suggested that the matter be investigated further and that someone with operational experience of publishing and managing peer review processes take part at the next CFRS meeting for a more profound discussion.

Robert ‘Bob’ Campbell, President at Wiley-Blackwell Publishing and Chair of the Publishing Research Consortium (PRC), accepted the invitation to discuss peer-review systems and maintaining the integrity of the scientific record, and joined the meeting for this purpose. C Smith introduced him by making special reference to B Campbell’s former role as Chair of the International Network for the Availability of Scientific Publications (INASP), which had initially been established by ICSU and was engaged in capacity building. B Campbell had been involved in commissioning the peer review report of the PRC that had been considered by CFRS members at their last meeting.

To engage CFRS on this topic, D Vaux drafted an Advisory Note that was circulated among CFRS during February 2011. The discussions on this and input by B Campbell principally focused on whether peer reviewing could be organised to reduce publication bias, if there were hurdles to its implementation and how these could be overcome, and whether there were alternative ways of reducing bias.

In introducing the subject, D Vaux cited the paper “Why Most Research Findings Are False”, published in PLoS Med in 2005, which indicates that bias towards positive findings often led

to the publication of false research results. Bias could also arise when editors and reviewers considered factors other than the scientific content of the manuscript. Adopting double-blind reviewing would mean that the authors did not know the names of the reviewers, and vice versa. While this could only reduce rather than eliminate bias, no strong negative side effects were apparent. However, implementation would entail overcoming some logistical difficulties, including ensuring that the editors did not learn authors' names in the submission process. In addition, if the editor were to be 'blinded', a mechanism would need to be found to avoid having a paper sent to its author for review. New Internet technologies could facilitate this.

B Campbell reported that one main finding of the PRC/Mark Ware study was to favour a double-blind peer review system. At the same time, other, mixed models could also be considered, for example a system that would start with open peer review, then going over into a closed peer reviewing, possibly after two months. B Campbell welcomed the Advisory Note as an important contribution, pointing out that the only missing point was an appeal system.

The subsequent discussion raised a number of issues that affected and were of relevance to bias in publishing:

- temptation of authors to bias their results to obtain high impact factor publications;
- temptation of young scientists to add names of established scientists with little or no contribution to get the paper accepted;
- risk in an open system that peer reviews would be wishy-washy or so negative that papers would not get published;
- exchange of reviews among reviewers;
- independence of editors from financial considerations;
- downscaling publications depending on their scientific value (cascade system);

The CFRS Chair welcomed the discussion, asking D Vaux to further develop the Advisory Note in the light of the comments and points raised by CFRS members.

Decisions

- to thank B Campbell for his participation at the CFRS meeting and contribution to the discussion on the subject;
- D Vaux to incorporate the discussion and further develop this Advisory Note and circulate it among CFRS members.

12. Future CFRS membership

Since the term of the majority of CFRS members would end in 2012, a staggered option of replacement was being considered, i.e. the extraordinary extension of membership for one year, or the stepping down of current members prior to 2012 and earlier appointment of new members. The invitation by C Smith to CFRS members to discuss their personal situation within the Committee with him privately was still standing. Also, and in view of ensuring a continuity of CFRS' work, proposals for the Chair would be most welcome. So far, R Arnon had indicated that she was prepared to step down early. In her place, the Israel Academy of Sciences and Humanities had proposed three candidates to the ICSU Executive Board, among whom Menahem E. Yaari was selected. The former Vice-President (1994-95) and President (2004-10) of the Israel Academy of Sciences and Humanities will take part in CFRS as soon as possible.

As for CFRS membership, C Smith was asked to establish a profile and Terms of Reference for candidates. This should indicate, *inter alia*, that members serve the Committee in their personal capacity and that they would have to opt out in cases where there was a conflict of interest. In that context, it was again emphasised that the scientific disciplines represented

on CFRS should be broadened to include the social sciences and humanities, and that the distribution in terms of regions should continue to be balanced insofar as this was possible.

Decisions

- to note Menahem E. Yaari as a new CFRS Member;
- C Smith to establish a profile and Terms of Reference for candidates

13. Progress and update of CFRS work plan

In September 2008, CFRS laid down its work plan for the period 2009-2011, linking its activities systematically to its Terms of Reference. In view of the ICSU General Assembly in September 2011, CFRS needed to review its activities and update the work plan where necessary.

It was decided that R Pfister should take the work plan for the years 2009-2011 as a basis and update and adapt it for the period 2012-2014. The information gained in this process could equally serve as the report on the past CFRS activities to the General Assembly. The two resulting documents would be sent to B Gustafsson and S Rumball for their comments, before being circulated to all CFRS members.

Decisions

- R Pfister to update and adapt the work plan 2009-2011;
- R Pfister to send the proposed work plan 2012-2014 and the report on CFRS activities for 2009-2011 to B Gustafsson and S Rumball for comment;
- R Pfister to circulate the final version of the two documents to all CFRS members.

14. Future CFRS meetings

14.1 11th CFRS Meeting, Rome, 24 September 2011

14.2 30th ICSU General Assembly, Rome, 28-30 September 2011

The next CFRS meeting would take place on Saturday 24 September 2011, with the possibility of extending into Sunday 25 September, although C Smith would not be able to participate due to a meeting of the ICSU EB that day. The CFRS meeting was associated with the ICSU General Assembly on 27-30 September, at which all CFRS members are welcome to participate. Taking into consideration the review of its work plan (see agenda item 13), CFRS would present its activities during the past three years to the General Assembly.

CFRS members further accepted an invitation of the Research Ethics and Bioethics Advisory Committee of the Italian National Research Council (CNR) for a meeting to discuss issues of common concern and to meet the Italian science community in that field. This should take place on Monday 26 September and be organised by the CNR.

Decisions

- R Pfister to confirm with the CNR Research Ethics and Bioethics Advisory Committee the joint meeting between them and CFRS;
- R Pfister to provide CFRS members with the details on practical arrangements for the Rome meeting.

15. Any other business

A Kaminskii reported that he had distributed the Singapore Statement on Research Integrity to colleagues at several meetings and that it was met with mostly positive responses. He suggested that, therefore, the document be disseminated at future relevant conferences.

O Tzeng expressed his concern about the university ranking systems, on which UNESCO, the OECD's Institutional Management of Higher Education (IMHE) and the World Bank had just organised the Global Forum "Rankings and Accountability in Higher Education: Uses and misuses" in Paris.

Decisions

- to thank A Kaminskii for his efforts to disseminate the Singapore Statement on Research Integrity;
- to ask O Tzeng to introduce the issue of university ranking systems at the next CFRS meeting in Rome.

Annexe 1: New wording of Statute 5 (version of 26 May 2011)

The Principle of the Universality of Science (Freedom and Responsibility in the Conduct of Science)

The free and responsible practice of science is fundamental to scientific advancement and human and environmental well-being. Such practice, in all its aspects, requires freedom of movement, association, expression and communication for scientists, as well as access to data, information, and other resources for research. Just as important, it requires responsibility at all levels to carry out and communicate scientific work with integrity, respect, fairness, trustworthiness, and transparency; and to maximize the benefits and minimise the possible harms of science for present and future generations.

In advocating the free and responsible practice of science, ICSU promotes equitable opportunities for access to science and its benefits, and opposes discrimination based on such factors as ethnic origin, religion, citizenship, language, political or other opinion, sex, gender identity, sexual orientation, disability, or age.