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# Ethics and professional conduct charter



# Why an ethics and professional conduct charter?

The mission of the PARIS BRAIN INSTITUTE is to promote honest and responsible research, in the service of the advancement of knowledge, with the objective of improving the quality of life of people at both the individual and collective level, this in a context of respect for autonomy, justice, relevance and charitability.

The institute is administered by the ICM Foundation, which under French law is a “*Fondation reconnue d'utilité publique*” (FRUP) or a charity recognised for its public utility, which relies on public donations.

This charter sets out a number of consensual ethical and deontological rules, the application of which are essential in the fields of activity of the PARIS BRAIN INSTITUTE.

This charter is not intended to establish administrative procedures which are defined elsewhere and fall under the remit of other committees and bodies of the PARIS BRAIN INSTITUTE.

This charter also aims to remind staff of the existence of legal and regulatory texts which are binding on everyone, in their respective fields of activity. They are cited at the end of this document.

It also aims to recall the basis of professional integrity in general, i.e. the integrity and codes of conduct which must be at the heart of all action within the Institute, and scientific integrity in particular, i.e. the integrity and honesty which must govern all research.

However, many of the codes and texts in force are not sufficient to guide choices in innovative practices which may raise questions never previously asked, or not in the same terms.

It is therefore the moral conscience of each person that is called upon. Moral conscience being inherent in every person, everyone can legitimately decide on their actions and must assume responsibility for them.

While moral responsibility resides in individuals, it is the responsibility of our research institution, which is as a public utility foundation must not leave anyone alone with their decisions, without the necessary support to make complex choices.

The ICM Foundation has therefore established an Ethics and Deontology Committee (COMETH) which, with wide consultation, has developed a set of ethical rules and codes of conduct and can be contacted by any person working at the PARIS BRAIN INSTITUTE, who may wish to receive an opinion on a situation raising questions in this domain.

This charter of ethics and professional conduct is a statement of the commitments made by people who contribute to the activity of the Paris Brain Institute. To sign it is to commit to respecting it.

## Areas particularly affected by ethical or professional conduct considerations

1



### Scientific integrity

Scientific integrity is defined as “the set of rules and values which must govern research activity to guarantee its honesty and scientifically rigorous character”. This condition is essential for maintaining the trust placed by society in the research community. The most serious potential breaches relate to fabrication, falsification, plagiarism and withholding of data. The less serious, but more frequent shortcomings, concern conflicts of interest not disclosed during an evaluation or expertise process, inadequate supervision of students and young researchers, abusive exclusions or inclusions in a list of authors.

The personnel working at the PARIS BRAIN INSTITUTE undertake to respect the principles of scientific integrity.

2



### Research on humans or biological samples

All research on human beings falls within the framework of ethical rules issued by the international community. Legal and regulatory texts, as well as good practice, have, as their primary goal, the protection of the people on whom research is carried out. Thus, research involving a physical intervention on human beings can only be carried out once the free, express and informed consent of the person concerned, or their legal representative, has been obtained.

The PARIS BRAIN INSTITUTE draws the attention of staff to the difficult ethical questions raised by research on genetic predispositions and vulnerabilities. The PARIS BRAIN INSTITUTE undertakes to ensure that any research protocol on the humans that it promotes and/or that it finances and/or in which its staff are involved, respects regulatory constraints and complies with the ethical principles issued by the international community on humans and biological samples listed in the appendix to this Charter.

3



### Use of animal models

The use of animal models for scientific research is one of the activities prior to much fundamental or biomedical research, but they often raise serious questions within public opinion.

This research is framed in Europe by specific regulations (Directive 2010/63 / EU), compliance with which, in each project that uses animals in the PARIS BRAIN INSTITUTE, is verified by an ethics committee on animal experimentation (committee CE005 Charles Darwin). The PARIS BRAIN INSTITUTE is committed to promoting the development of experimental methods which avoid the use of animals where possible, to reduce the number of animals used to the minimum necessary and to ensure the humane treatment of animals by its staff, in the compliance with the “3Rs” rule: Replace, Reduce, Refine.

The same provisions must be applied when research is carried out at the initiative of the PARIS BRAIN INSTITUTE, including that within the context of internal and external collaborations or the provision of services. Compliance with these ethical and regulatory obligations presupposes compliance with them by the research teams and the institution’s attention to ensuring that the working conditions, within the various animal facilities available to the PARIS BRAIN INSTITUTE, allow good practice to be observed.

4

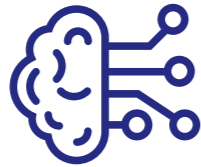


#### Use of digital tools and computerised data

Computer users should be aware of the value of data stored on computer systems, and the risks that may be incurred in the storage, transport and dissemination of such data, such as the risk of file piracy, introduction of viruses, or other types of harmful and/or negligent actions.

In order to protect the integrity of its IT systems and more particularly of the stored data, the PARIS BRAIN INSTITUTE has implemented an IT Charter as well as IT security procedures. The maintenance of computer files containing personal data is governed by the General Data Protection Regulations (GDPR) and is to be fully respected. The PARIS BRAIN INSTITUTE draws the attention of staff to the sensitive nature of personal data and the value of data resulting from research, the management of which must be conceived within the framework of a "Data Management Plan" respecting good practice.

5



#### Use of Artificial Intelligence

Recent advances in artificial intelligence (AI) and the development of numerous applications affecting all sectors of social life, and particularly the field of health, raise many ethical and deontological questions, particularly when the underlying logic of algorithms remains incomprehensible and opaque even to those who build them. The PARIS BRAIN INSTITUTE is directly concerned with the development of research on AI and research methods using deep learning algorithms. The PARIS BRAIN INSTITUTE is committed to ensuring that the research carried out complies with the recommendations of the French committees on data security, CNIL and CCNE, and is attentive to the choice of the type of data feeding algorithmic models, its appropriateness in terms of quantity, the existence of bias in the data sets used to train the algorithms and, above all, the purpose of the tools developed.

6



#### Data sharing / Open science

Sharing scientific knowledge and data makes research more efficient, more visible, and less redundant. Open access to data and results can revolutionise the way research is done, and enable novel uses of existing data, thereby accelerating discovery and innovation. Accessibility by many actors and by several disciplines, facilitates the response to contemporary issues and contributes to scientific integrity. The PARIS BRAIN INSTITUTE strongly encourages researchers to publish only in open access journals, and to develop a culture of data management and sharing, based on the implementation of the FAIR principles (Easy to find, Accessible, Interoperable and Reusable). The PARIS BRAIN INSTITUTE is committed to setting up the infrastructure necessary for the implementation of an open science policy.

7



#### Tech transfer

Tech transfer refers to activities that aim to transfer a technology, a skill, a product, or the research results obtained by researchers, to economic actors likely to optimise and develop them and make them accessible to users. To do this, the PARIS BRAIN INSTITUTE helps staff to promote their research while respecting the general interest and the particular interests of the research institutions involved and of individual researchers. Some staff, because of their individual skills, are called upon by manufacturers for a purely intellectual service under consultancy contracts. The possibility of carrying out such an activity requires the prior authorisation of the employer. Tech transfer activity is regulated by various official documents and can only be carried out within an institutional framework, to serve public interest and to protect individual interests.

8



#### Conflict of interest situations

A conflict of interest arises from a situation in which a person's social or financial links are likely, by their nature and intensity, to call into question their impartiality or independence in the exercise of the mission or function, which is entrusted to them by the PARIS BRAIN INSTITUTE. In order to eliminate and prevent situations of conflict of interest, the PARIS BRAIN INSTITUTE has adopted a complete system for the prevention and management of these conflicts which in addition to this Charter, includes obligatory annual declarations of interest, applying to administrators as well as all directors, researchers, group managers and members of the Research Applications Department of the PARIS BRAIN INSTITUTE. A professional working at the PARIS BRAIN INSTITUTE and whistleblower cannot be penalised for having denounced, in good faith, a conflict of interest. No punitive action whatever may be taken against such a person.

9



#### Scientific and technical communication

Scientists have a duty to communicate the results of their research in a form that can be understood by as many people as possible. The PARIS BRAIN INSTITUTE has a duty to provide information to its partners (scientific and medical circles, universities, businesses, etc.), to public authorities, to donors, and more generally to the public. However, popularisation can potentially pose problems of presentation and commentary. We must be careful not to create false hope or despair in sick people. The results intended for the media must have been previously accepted for publication in a peer-reviewed journal. The encouragement to publish should not lead the teams or the institution to breaches of their ethical and deontological obligations.

10



### Recourse to the generosity of the public

The ICM Foundation is a private foundation recognised as being of public utility, which consists of making assets available in order to carry out projects of general interest and not for profit. The funds at its disposal depend essentially on public donations. Apart from the internal control linked to its governance, a foundation recognised as a public utility is subject to administrative oversight aimed at ensuring that it remains non-profit, that its management is disinterested, that it does not benefit a small circle of people and that it generates sufficient income to ensure sustainable financial health. These checks are carried out by auditors, public authorities (prefecture, interior ministry and, where applicable, the supervisory ministry) and donors. The missions of general interest carried out by the ICM Foundation are research, public health and disease prevention, and training. As a result, the ICM Foundation refuses to associate its activities, and therefore its sources of funding, with organisations whose values are not aligned with those of the PARIS BRAIN INSTITUTE. The General Management of the ICM Foundation can, in case of doubt as to the advisability of accepting a sponsorship, refer to COMETH-ICM for advice.

11



### Equal opportunities

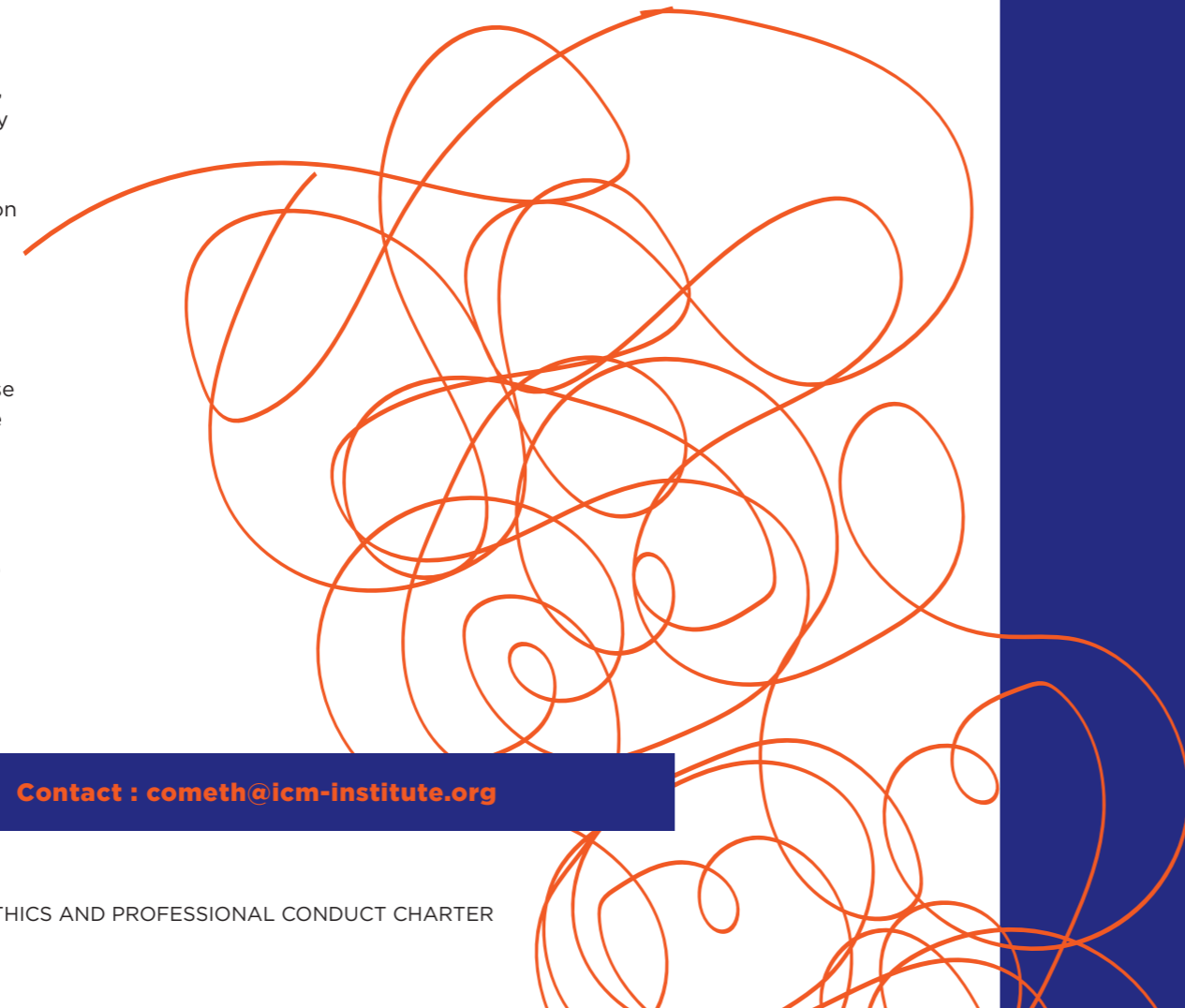
The PARIS BRAIN INSTITUTE is committed to developing a scientific culture towards greater gender equality, and ensures that parity is respected in all its bodies and committees. At every level in the exercise of its professional activity, the PARIS BRAIN INSTITUTE works for the respect of the principle of non-discrimination between women and men. In general, the professional environment promoted by the PARIS BRAIN INSTITUTE is based on diversity and respect for the individual, regardless of nationality, ethnicity, gender, age, disability etc.

12



### Eco-responsibility

Eco-responsibility refers to all actions aimed at limiting the environmental impact of our activities. It involves new management, purchasing and work organisation choices, investments and awareness raising of all stakeholders. The PARIS BRAIN INSTITUTE is committed, as an institution, and encourages everyone to reduce, as much as possible, their consumption of energy, single-use products, to limit long-distance trips to those essential to the successful pursuit of its work, and to recycle everything possible.



Contact : [cometh@icm-institute.org](mailto:cometh@icm-institute.org)

## Reference Documents

### Documents de référence Intégrité scientifique

#### Reference Documents Scientific Integrity:

- The European Code of Conduct for Research Integrity - 2017
- Charte Nationale de déontologie et d'intégrité scientifique de l'Agence nationale de la recherche - 2018
- Charte éthique et déontologique des facultés de médecine et de déontologie -2017
- Practical guide "Integrity and responsibility in research practices". <https://comite-ethique.cnrs.fr/en/practical-guide/>

#### Reference Documents Research on Humans:

- Declaration of Helsinki by the World Medical Association. Ethical Principles for Medical Research involving Human Subjects, revised in 2008 : <http://www.wma.net>
- International Ethical Guidelines for Biomedical Research Involving Human Subjects. Council for International Organizations of Medical Sciences (CIOMS). Adopted in 1993, revised in 2002 : [http://www.cioms.ch/publications/guidelines/french\\_text.htm](http://www.cioms.ch/publications/guidelines/french_text.htm)
- Universal Declaration on Bioethics and Human rights. Adopted in 2005. <http://www.unesco.org/news/fr/social-and-human-sciences/themes/bioethics>
- Convention for the protection of Human Rights and Dignity of the Human Being with regard to the Application of Biology and Medicine: Convention on Human Rights and Biomedicine <http://conventions.coe.int/Treaty/fr/Treaties/html/164.htm>

#### Reference Documents Biological Samples:

- Recherches sur les échantillons biologiques humains. [www.legifrance.gouv.fr](http://www.legifrance.gouv.fr) : Code de la santé publique – See articles L. 1243-3, L. 1243-4, L. 1211-2, L. 1221-8-1.
- Research on stem cells, in France, requires a permission from the Agence de la Biomédecine. Legislative framework ; article L. 2151-5 du code de la santé publique.
- Avis du CCNE : N°077 Problèmes éthiques posés par les collections de matériel biologique et les données d'information associées : <http://www.ccne-ethique.fr/avis.php>

#### Reference Documents Personal Data:

- [https://ec.europa.eu/info/law/law-topic/data-protection\\_en](https://ec.europa.eu/info/law/law-topic/data-protection_en)
- <https://eur-lex.europa.eu/legal-content/FR/TXT/HTML/?uri=CELEX:32016R0679>
- <https://www.cnil.fr/fr/rgpd-par-ou-commencer>

#### Reference Documents Animal Research:

- <https://www.recherche-animale.org/charte-nationale-sur-lethique-de-lexperimentation-animale>
- <https://www.inserm.fr/en/recherche-inserm/ethique/utilisation-animaux-fins-recherche/regulations-and-ethics-in-animal-studies>
- [https://ec.europa.eu/environment/chemicals/lab\\_animals/index\\_en.htm](https://ec.europa.eu/environment/chemicals/lab_animals/index_en.htm)
- <https://nuffieldbioethics.org/assets/pdfs/The-ethics-of-research-involving-animals-full-report.pdf>

#### Reference Documents Artificial Intelligence:

- <https://www.cnil.fr/fr/ethique-et-intelligence-artificielle>
- <https://www.oecd.org/going-digital/ai/principles/>
- <https://www.ccne-ethique.fr/fr/publications/donnees-massives-et-sante-etat-des-lieux-prospective-et-nouvelles-questions-ethiques>
- The Asilomar AI Principles <https://clbfest.github.io/Boston/Principles-for-AI.html>

#### Reference Documents Open Science

- [http://www.cnrs.fr/sites/default/files/press\\_info/2019-11/Plaqueette\\_ScienceOuverte.pdf](http://www.cnrs.fr/sites/default/files/press_info/2019-11/Plaqueette_ScienceOuverte.pdf)
- [https://cache.media.enseignementsup-recherche.gouv.fr/file/Actus/67/2/PLAN\\_NATIONAL\\_SCIENCE\\_OUVERTE\\_978672.pdf](https://cache.media.enseignementsup-recherche.gouv.fr/file/Actus/67/2/PLAN_NATIONAL_SCIENCE_OUVERTE_978672.pdf)
- <https://ec.europa.eu/research/openscience/index.cfm>

#### Reference Documents Scientific Communication:

- Avis du CCNE N°045 « Avis sur les questions éthiques posées par la transmission de l'information scientifique relative à la recherche biologique et médicale ». Rapport. (1995-05-31) : <http://www.ccne-ethique.fr/avis.php19>

#### Reference Documents Tech Transfer

- [http://www.cnrs.fr/comets/IMG/pdf/avis\\_me\\_tiers\\_2\\_12\\_02\\_14-2.pdf](http://www.cnrs.fr/comets/IMG/pdf/avis_me_tiers_2_12_02_14-2.pdf)

#### Reference Documents Conflicts of Interest

- Practical guide "Integrity and responsibility in research practices". <https://comite-ethique.cnrs.fr/en/practical-guide/>

#### Reference Documents Foundation

- <https://www.centre-francais-fondations.org/fondations-fonds-de-dotation/les-formes-de-fonds-fondations/synopsis-par-type-de-fonds-ou-fondation/fondation-reconnue-dutilite-publique>
- [http://admical.org/sites/default/files/uploads/charte\\_du\\_mecanat\\_admical\\_mai\\_2017.pdf](http://admical.org/sites/default/files/uploads/charte_du_mecanat_admical_mai_2017.pdf)

#### Reference Documents Gender and Health

- <https://www.inserm.fr/en/health-information/health-and-research-from-z/gender-and-health>

#### Reference Documents Eco-responsibility

- <https://www.mygreenlab.org/>





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