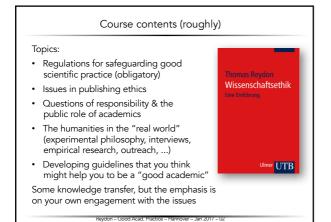
Good Academic Practice

(27 & 28 Jan 2017)

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The plan for today & tomorrow Lecture 1 What is / could be good academic practice? Group work Developing a set of guidelines (Presentations) Lecture 2 Issues in publication ethics Group work Dealing with issues in publication ethics (Presentations) Lecture 3 Responsibility in research and teaching in the humanities (and social sciences) The philosopher in the world (Presentations) Group work Lecture 4 Philosophy engaging with the world (outreach, advocacy, etc.) Developing a set of guidelines, closing discussion Group work Good scientific practice - there is a lot for the natural sciences, but very little for the humanities If you want guidance, you'll need to think about what you need & develop the guidelines yourselves



Relevance (1)
 Society provides the context to your work: Public funding of research Scientific knowledge affects society by opening up new possibilities Scientific expertise may be required when dealing with societal problems Scientists have a responsibility to "serve mankind", to improve the lives of people:
"I would address one general admonition to all; that they consider what are the true ends of knowledge, and that they seek it not either for pleasure of the mind, or for contention, or for superiority to others, or for profit, or fame, or power, or any of these inferior things; but for the benefit and use of life; and that they perfect and govern it in charity." (Francis Bacon, 1620)

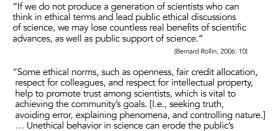
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Relevance (2)

Why would this only hold for the sciences?

- The humanities don't provide (empirical) knowledge, but they do provide understanding, contextualization, etc.
- Society provides the context to your work too
- Society usually funds your work and therefore
- might expect something of value in return • As for the sciences, this implies a responsibility to think
- about where to put your own efforts (Philip Kitcher, 2001, 2011)
- Your expertise may be requested! (So, what is your expertise?) For all of academia:
- Certain (sometimes codified, often unwritten)
- rules and regulations need to be respected
- Such unwritten rules emerge as part of everyday work
- Acquisition of competences w.r.t. dealing with such issues

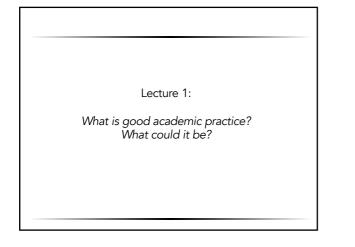
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Relevance (3)

confidence in science and lead to declining public support, and increased regulation and oversight."

(David Resnik, 2010: 149-150)



Ethics of science

- Acting rightly and wrongly as an academic, i.e., in the context of a particular professional role
- Consequences of research (such as nanoethics, genetic tests, genetic modification of plants and animals, etc.)
- What could be comparable consequences of research in the humanities and the social sciences? (Hacking's "looping effects" for social categories, perhaps?)
- Conditions for research (use of embryos for stem cell research, use of animals, risks of GM field trials, research on humans in psychology and in clinical trials, etc.)
- What could be relevant conditions for research in the humanities and social sciences?
- Ethics of science as applied ethics? Usefulness of ethical theories?
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Good scientific practice

Good scientific practice at a very general level consists in:

- Being aware that science / academic work has consequences for society, and is embedded within society
- Being aware of the variety of possible aims of your work
 Ongoing reflection about this & determining your position
- Good scientific practice has less to do with ethics than with
- The way in which academia works
- Accepted methodologies & ways of practice
- Cultural differences in different fields

Kaudor

 The (social, etc.) responsibilities that someone assumes when taking up the role of scientist / academic

Perhaps it's better to speak about the professional ethos of science (cf. Merton) than about ethics of science (much isn't to do with morality)

This is part of the philosophical enterprise (1)

THE VALUE OF PHILOSOPHY 248 The

man who has no tincture of philosophy goes through life imprisoned in the prejudices derived from common sense, from the habitual beliefs of his age or his nation, and from convictions which have grown up in his mind without the co-operation or consent of his deliberate reason. To such a man the world

(Bertrand Russell, The Problems of Philosophy, 1912: 242-243)

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This is part of the philosophical enterprise (2)

very incomplete answers can be given. Philosophy, though unable to tell us with certainty what is the true answer to the doubts which it raises, is able to suggest many possibilities which enlarge our thoughts and free them from the tyranny of custom. Thus, while diminishing our feeling of certainty as to what things are, it greatly increases our knowledge as to what they may be ; it removes the some-

(Bertrand Russell, The Problems of Philosophy, 1912: 243)

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Bad scientific practices – some examples (1)

- 1908: "Piltdown man" chemically aged bones & skull of multiple species presented as "missing link" (*Eoanthropus dawsoni*)
 1984: Robert Gallo (HIV research), accused of appropriation of a virus strain & inflation of his own contribution
 2002: Jan Hendrik Schön (Bell Labs), accused of faked data in
- at least 17 publications (*Science, Nature, Phys. Rev. Lett.*) 2004: Hwang Woo-Suk (cloning research in humans), accused
- of having faked data & put pressure on female lab members 2010: Marc Hauser (cognitive science, Harvard), accused
- of faking data in behavioral research ("*Hineininterpretation*") 2011: Diederik Stapel (social psychology), faked data accusations
- 2014: Jens Förster (social psychology), accusations of data
 - manipulation (statistically unlikely good fit)





The response: formulating "scientific misconduct" Response in the USA: • 12 cases of research misconduct between 1974 and 1981 (see: https://ori.hbs.gov/historical-background)

(see: https://ori.hhs.gov/historical-background)
1980s: US Office of Scientific Integrity (OSI) & National Science Foundation (NSF)

Response in Germany:

- DFG Memorandum Safeguarding Good Scientific Practice (1st ed. 1998, 2nd ed. 2013)
- Contains 17 recommendations
- Universities and research institutes must implement regulations based on the DFG recommendations

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· Every institution does its own thing!



Good scientific practice

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Interdisciplinary area:

- Ethics: fraud, deceit, etc.
- Methodology: what does it mean to do a good job?
- Regulation:

Gottfried Wilhelm Leibniz Universität Hannover Regulations for Safeguarding Good Scientific Practice

Preamble The purpose of the regulations of Gottfried Wilhelm Leibniz Universität Hannover for safeguarding pood selentific practices is to grevent scientific microchuct and to establish pood selentific practices. First of all nuels to safeguarding good selentific practice al Gottfried Wilhelm Leibniz Universität Hannover are established. In a second step, the regulations provide suitable instruments for nivestigating and evaluating suspected scientific microchuct by its members and associates in search and teaching, and regulate procedures in cases of suspected scientific microchuct.

> Section One: Rules of Good Scientific Practice lembers and Associates of Gottfried Wilhelm Leibniz Universität H

od Scientific Practice

es of Good Scientific Practice rs and associates of Gottfried Wilhelm Leibniz Universität Hannover shall observe th cientific Practice. These include in particular: Reydon – Good Acad. Practice – Hannover – Jan 2017 – 14

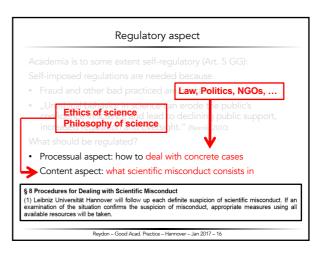
Regulatory aspect

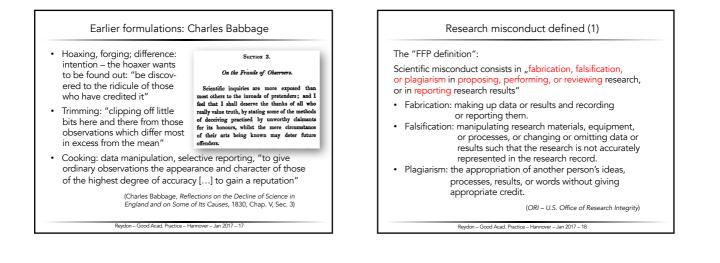
Academia is to some extent self-regulatory (Art. 5 GG): Self-imposed regulations are needed because

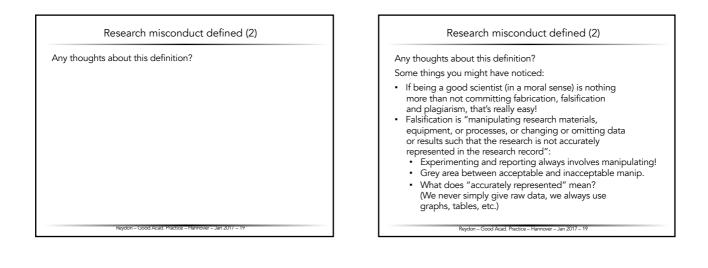
- Fraud and other bad practiced are not rare
- Recall: "Unethical behavior in science can erode the public's confidence in science and lead to declining public support, increased regulation and oversight." (Resnik, 2010)
- What should be regulated?
- Processual aspect: how to deal with concrete cases
- Content aspect: what scientific misconduct consists in

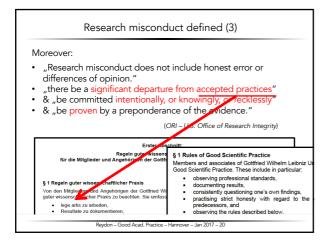
§ 8 Procedures for Dealing with Scientific Misconduct

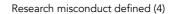
(1) Leibniz Universität Hannover will follow up each definite suspicion of scientific misconduct. If an examination of the situation confirms the suspicion of misconduct, appropriate measures using all available resources will be taken.





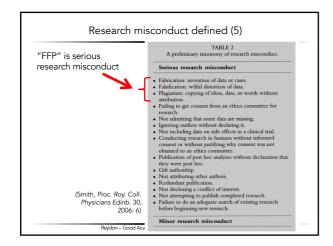






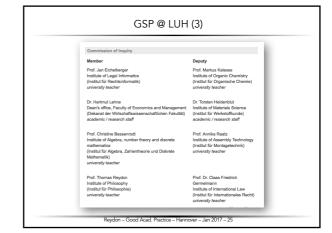
Some questions for discussion:

- Working "lege artis": What are the accepted practices of which cannot be significant departures? Do you know this for your field?
- When is a departure significant? When insignificant? When do we speak of intent, knowing departure,
 - recklessness?
- How do you actually prove these things? What else should be identified besides "FFP"?
- When is something merely sloppy work, when scientific misconduct?
- Is good scientific practice merely the avoidance of scientific misconduct?



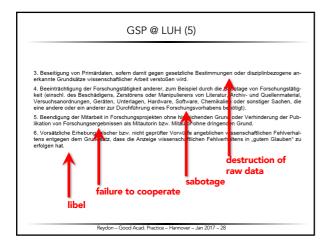


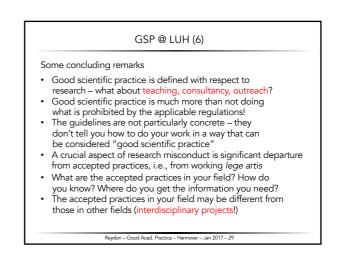






GSP @ LUH (4) § 7 Wissenschaftliches Fehlverhalten		
1. Erste	ellen und Verwenden falscher Angaben	
•	durch Erfinden von Daten, "FF"	
	durch Verfälschen von Daten, z.B. durch unvollständige Verwendung von Daten und Nichtberück- sichtigung unerwünschter Ergebnisse, ohne dies offen zulegen, sowie durch Manipulation von Dar- stellungen oder Abbildungen,	
•	durch unrichtige Angaben in einem Bewerbungsschreiben, einem Förderantrag oder einer Veröffent- lichung (einschl. Falschangaben zum Publikationsorgan und zu in Druck befindlichen Veröffentli- chungen, Kooperationen etc.).	
geschü	tzung geistigen Eigentums in Bezug auf ein von einer anderen Person geschaffenes urheberrechtlich Iztes Werk oder von anderen stammende wesentliche wissenschaftliche Erkenntnisse, Interpretatio- pothesen, Lehren oder Forschungsansätze durch	
•	die unbefugte Verwertung unter Anmaßung der Autorenschaft (Plagiat), "P"	
•	Ausbeutung von Forschungsansätzen und Ideen anderer, insbesondere als Gutachterin oder Gutachter (Ideendiebstahl),	
•	die Anmaßung wissenschaftlicher Autoren- oder Mitautorenschaft oder unbegründete Annahme von wissenschaftlicher Mitautorenschaft,	
	die unbefugte Veröffentlichung und das unbefugte Zugänglichmachen gegenüber Dritten, solange das Werk, die Erkenntnis, die Interpretation, die Hypothese, die Lehre oder der Forschungsansatz noch nicht veröffentlicht ist,	
•	durch die Inanspruchnahme der (Mit-)Autorenschaft einer Person ohne deren Einverständnis.	





Lecture 2: Issues in publishing ethics - authoring, refereeing, editing

A somewhat boring example: plagiarism

Why is plagiarism in science wrong?

- · Intellectual property: theft of ideas is theft (outside academia too)
- Fraud w.r.t. obtaining a degree or a qualification The reward system of science: credit for new ideas & results is essential for advancing one's career; plagiarism hinders fair competition
- Authorship implies responsibility for ideas & results: a
- scientist's good name stands for the quality of his "products" Contextualization: authorship allows others to place results in the context of the rest of the author's work, his research program, etc. (Which theories & hypotheses does the author usually accept? How does he usually argue?)

Authorship makes the human factor in the knowledge production process transparent - science isn't done by machines, after all

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Another example: self-plagiarism (1)

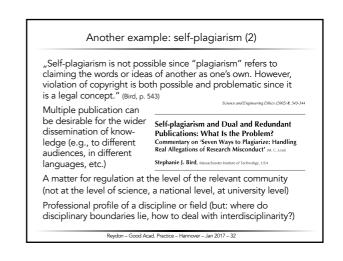
"A case of duplicate publishing of a paper has recently come to our attention. The degree of scientific similarity and duplication of text (...) amounts to fraud in our opinion. (...) In our opinion, using a template paper and modifying it to suit closely related experiments is a form of fraud."

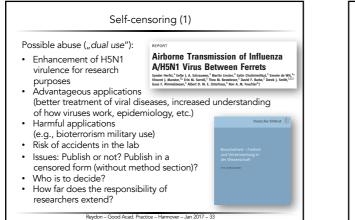
(Editorial, Int. J. Biochem, Cell Biol, 36, 2004, 2097)

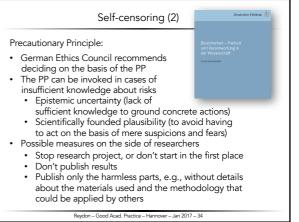
"There are (...) limited circumstances (e.g., describing the details of an instrument or an analytic approach) under which authors may wish to duplicate without attribution (citation) their previously used words, feeling that extensive self-referencing is undesirable or awkward. (...) only the amount of previously published material necessary to understand that contribution should be included, primarily in the discussion of theory and methodology

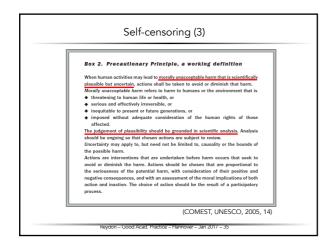
(Amer. Psychol. Assoc., Publication Manual, Vol 44, No. 7, 2013)

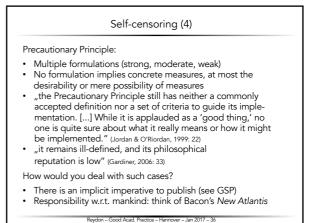
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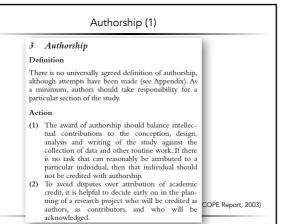


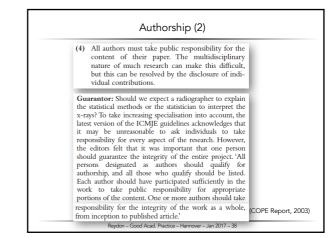




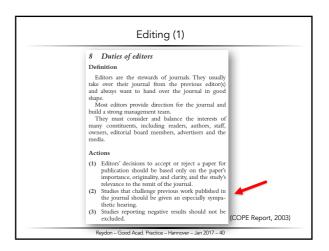


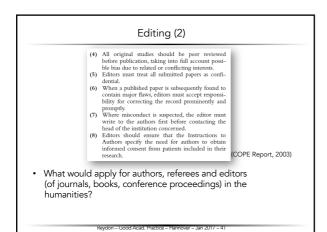


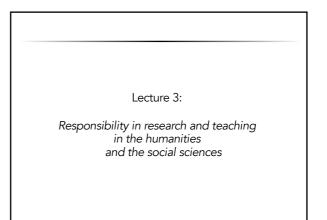


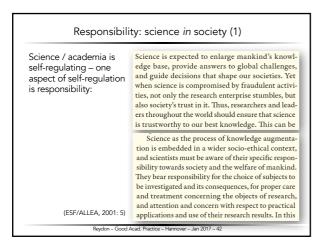


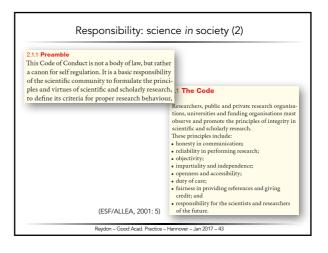
5 Peer review
Definition
Peer reviewers are external experts chosen by editors to provide written opnions, with the aim of improv- ing the study. Working methods vary from journal to journal, but some use open procedures in which the name of the reviewer is disclosed, together with the full or "edited" report.
Action
 Suggestions from authors as to who might act as reviewers are often useful, but there should be no obligation on editors to use those suggested. The dury of confidentiality in the assessment of a manuscript must be maintained by expert review- ers, and this extends to reviewers' colleagues who may be asked (with the editor's permission) to give opinions on specific sections. The submitted manuscript should not be retained or copied.
 (4) Reviewers and editors should not make any use of the data, arguments, or interpretations, unless they have the author's permission. (5) Reviewers should provide speedy, accurate, cour-
(cope Report, 2003)











Brief connection to day 1 Responsibility in general (1) Scientists have a responsibility to "serve Scientific mankind", to improve the lives of people: Freedom "I would address one general admonition to all; that they consider what are the true ends of know Responsibility ledge, and that they seek it not either for pleasure of the mind, or for contention, or for superiority to others, or for profit, or fame, or power, or any of these inferior things; but for the benefit and The Committee concluded, early in its deliberations, that the issues of scientific freedom and responsibility are basically inseparable. Prepared for the use of life; and that they perfect and govern it in charity. Scientific freedom, like academic freedom, is an acquired right, generally approved by society as necessary for the advancement of (Francis Bacon, Instauratio Magna, 1620) New Atlantis (1627): knowledge from which society may benefit (3). The responsibilities are Science as a well-structured organization primary; scientists can claim no special rights, other than those possessed Icy every citizen, except those necessary to fulfill the Science as an institution installed by & integrated in society responsibilities that arise from the possession of special knowledge and Knowledge with the explicit aim of application of the insight arising from that knowledge. Freedom, self-governance & self-censorship (AAAS, 1975; 5)

Responsibility in general (2) "Scientists have an obligation to benefit society and avoid causing harm to people, communities, and the environment. Scientists must also be accountable to the public. Scientists can fulfill their social responsibilities in many different ways, such as conducting useful research, educating the public about science and its social implications, providing expert testimony and advice on scientific issues, or engaging in policy debates concerning issues related to the applications or implications of science and technology ..." (Shamoo & Resnik, 2009: 6) And how could this be unpacked

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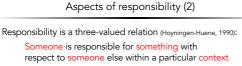
for the humanities and social sciences?

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Aspects of responsibility (1) 'Responsibility' is not an unequivocal notion: • Responsibility for part of a project or stage in a workflow • Legal responsibility: the court can hold you responsible for your actions • Moral responsibility: simply acting in the right way • Social responsibility: considering societal aspects in your actions • Professional responsibility / role responsibility: some professions come with special responsibilities (medical doctors, police officers, ..., and scientists / academics?) Some conceptual and practical problems: • No agreed upon taxonomy of kinds of responsibility • Different aspects of responsibility may complement each other, or partly overlap, or conflict with one another (e.g., role and legal responsibilities, the soldier's conscience)

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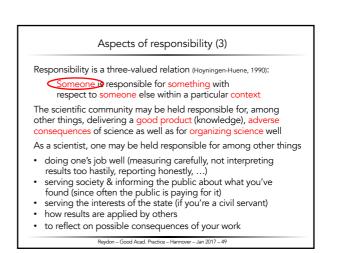


Moral responsibility arises with respect to

- one's consciousness?
- God?
- the members of one's society? (cf. evolutionary ethics)
- o one (the analysis of responsibility as a three-valued relation may fail to hold in some cases)



How is social responsibility different from moral responsibility? With respect to whom can scientists / academics have a responsibility?



Aspects of responsibility (4)

Responsibility is a three-valued relation (Hoyningen-Huene, 1990): Someone is responsible for something with

respect to someone else within a particular context

With respect to which parties can scientists carry a responsibility? Internal responsibility:

- · Work environment (direct colleagues, graduate students,
- undergraduates, one's institution, university, ...) Community (one's own relevant community, e.g., of
- evolutionary biologists, & the scientific community at large) External responsibility:

- Specific groups (funding agencies, the government,
- private foundations, industry) Society (the general public, one's society, humanity at large)
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(scientists don'	sponsibility as a prerequisite for doing science t have either time or capabilities to reflect on the al aspects of their work):
	pretty close to this ideal. From the point of view of society, the justification for the favored position of the scientist is that the scientist cannot make his contribution unless he is free, and that the value of his contribution is worth the price society pays for it. The demand that the individual scientist be responsible for the uses made by society of his discoveries would constitute (Bridgman, Sci. Monthly 65, 1947)
How is this for	academics in general? In the humanities?

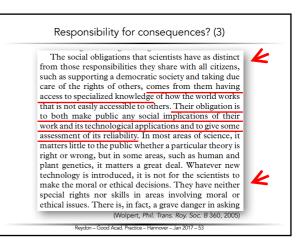
Responsibility for consequences? (2) **The Medawar Lecture 1998**

Is science dangerous?

Lewis Wolpert* Anatomy and Developmental Biology, University College, London WC1E 6BT, UK This disk that science is dangerous is deeply embedded in our culture, particularly in literature, yet science provides the best way of understanding the world. Science is not the same as technology. In contrast to technology, reliable scientific knowledge is value-free and has no moral or ethical value. Scientists are not responsible for the technological applications of science; the very nature of science is that it is not possible to predict what will be discovered or how these discoveries could be applied. The obligation of scientists is to make public both any social implications of their work and its technological applications. A rare case of immoral science was eugenics. The image of Frankenstein (Wolpert, Phil. Trans. Roy. Soc. B 360, 2005)

How is this for academics in general? In the humanities?

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	Responsibility for consequences? (4)
The sci	entist as expert consultant in public debates:
	to make such decisions? No! Scientists have an obligation to make the reliability of their ideas in such sensitive areas clear to the point of overcautiousness, and the public should be in a position to demand and critically evaluate the evidence. That is why programmes for the public understanding of science are so important.
	for themselves? How do we ensure that scientists take on the social obligation of making the implications of their work public? We have to rely on the many institutions of a democratic society: parliament, a free and vigorous press, affected groups and the scientists themselves. That is why programmes for the public understanding of science are so important. Alas, we still (Wolpert, Phil. Trans. Roy. Soc. B 360, 2005)
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Responsibility for consequences? (5)				
ig resistances,)				
n Beck: "the world as a				
In our view, genome editing in human embryos using current technologies could have unpredictable effects on future gen- erations. This makes it dangerous and ethi-				
cally unacceptable. Such research could be exploited for non-therapeutic modifica- tions. We are concerned that a public outcry about such an ethical breach could hinder a promising area of therapeutic development, namely making genetic changes that cannot be inherited. At this early stage, scientists should agree				
not to modify the DNA of human repro- ductive cells. Should a truly compelling				

Responsibility for consequences? (6)

Are scientists responsible for possible adverse consequences / applications of their research

- · No, because they didn't intend them
- No, because they couldn't have foreseen them
- No, they have to be relieved of any such responsibility (because otherwise they won't be able to do their job
- Yes, because they contributed to making them possible in the first place (but: causal responsibility) Yes, because such a responsibility is part and
- parcel of their task to serve mankind
- Yes, because they have moral responsibility for their actions
- Which position would you take?
- What adverse consequences / applications of research in the humanities can you think of?
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Conflicts of interest (1)

Conflicts of interest

- · constitute one of the main causes of research misconduct are situations in which one may find oneself
- (conflicts of interest simply happen to you)
- are not morally problematic per se, but can cause problems External conflicts of interest occur because scientists
- (academic personnel) have personal interests
- in building a career, making money,
- in being recognized by their peers, in exploring topics they find interesting,

which may collide with their role responsibilities to their university, their institute, their colleagues, funding agencies, politics, society, ...

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Conflicts of interest (2)

"A conflict of interest occurs when there is a divergence between an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. Conflicts of interest are common and practically unavoidable in a modern research university."

(Stanford University, Faculty Policy on Conflict of Commitment and Interest (Research Policy Handbook 4.1), 2004)

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Minimal solution: disclosureIn addition: codes of conduct & fixed procedures for well-defined cases (e.g., research conducted with corporate funding, biases in search committee contexts ("Befangenheit"))

Conflicts of commitment

Internal conflicts of interest ("conflicts of commitment") occur because scientists (academics) have various responsibilities:

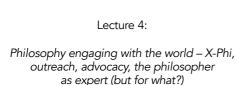
Conflicts between various aspects of one's job What do I invest my time and energy in? (writing an article, doing an experiment, writing a grant proposal, refereeing a paper, sitting on a committee, developing a new course, accepting another PhD student)

These may lead to moral conflicts, because other people are involved (toward which one might have a role responsibility):

- Interests of cooperation partners, PhD students, students in classes, colleagues, the university as a community of scholars, Freedom of choice implies the responsibility to choose well

Connection to external conflicts of interest (personal interests)

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Sarewitz on accountability (1)

But much of this supposed knowledge is turning out to be contestable, unreliable, unusable, or flat-out wrong. From metastatic cancer to climate change to growth economics to dietary standards, science that is supposed to yield clarity and solutions is in many instances leading instead to contradiction, controversy, and confusion. Along the way it is also

of hype, myth, and denial. But much of the problem can be traced back to a bald-faced but beautiful lie upon which rests the political and cultural power of science. This lie received its most compelling articulation just as America was about to embark on an extended period of extraordinary scientific, technological, and economic growth. It goes like this:

Scientific progress on a broad front results from the free play of free intellects, working on subjects of their own choice, in the m tated by their curiosity for exploration of the unknown. anner dic-

(Sarewitz, The New Atlantis Spring/Summer 2016, 5)

Sarewitz on accountability (2)

To go along with all that money, the beautiful lie provided a politically brilliant rationale for public spending with little public accountability. Politicians delivered taxpayer funding to scientists, but only scientists could evaluate the research they were doing. Outside efforts to guide the course of science would only interfere with its free and unpredictable advance.

(Sarewitz, The New Atlantis Spring/Summer 2016, 7)

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Vannevar Bush's beautiful lie makes it easy to believe that scientific imagination gives birth to technological progress, when in reality technology sets the agenda for science, guiding it in its most productive directions and providing continual tests of its validity, progress, and value. Absent their real-world validation through technology, scientific truths would be mere abstractions. Here is where the lie exercises its most cor-(Sarewitz, The New Atlantis Spring/Summer 2016, 16)

Sarewitz on accountability (4)

tial by itself to be particularly earth-shattering. If people expect scientific

research—even basic, long-term research—to contribute to a larger goal, there must be some mechanism of accountability for driving it toward

that goal. Like Visco and Fitzpatrick, Marqusee thinks that the absence

mean telling scientists how they should do their work, or even what they should work on; he means making sure that the science that's being done

makes sense in terms of the goal to which it is supposed to contribute. (Sarewitz, The New Atlantis Spring/Summer 2016, 33)

When Marqusee talks about the need to "manage research" he doesn't

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Sarewitz on accountability (5) Advancing according to its own logic, much of science has lost sight of the better world it is supposed to help create. Shielded from accountability to anything outside of itself, the "free play of free intellects" begins to seem like little more than a cover for indifference and irresponsibility. The tragic irony here is that the stunted imagination of mainstream science is a consequence of the very autonomy that scientists insist is the key to their success. Only through direct engagement with the real world can science free itself to rediscover the path toward truth. (Sarewitz, The New Atlantis Spring/Summer 2016, 40) Orientation of research onto real world problems Accountability of researchers, projects, etc. to society. Not unlike Kitcher's well-ordered science Is this desirable? In what form could it be put? How about the humanities? How about philosophy? Are the humanities still the "free playground for free intellects"?

Sarewitz on accountability (3) Scientists can never escape the influence of human bias. But human bias

doesn't have much room to get a foothold when research is tightly linked to the performance of a particular technology—through, say, the desire

for lighter, stronger automobile engines, or for faster, more efficient web

Technology keeps science honest. But for subjects that are incredibly

In the absence of a technological application that can select for useful

truths that work in the real world of light switches, vaccines, and aircraft, there is often no "right" way to discriminate among or organize the mass

of truths scientists create. This is why, to take another endlessly contested

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Successful application validates scientific results

Goals are set by the problems that exist out there

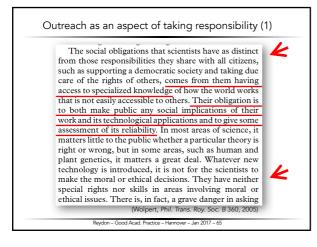
Research should be goal-directed

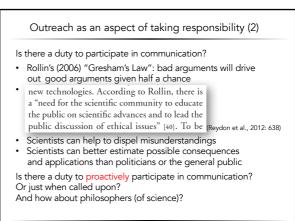
(Sarewitz, The New Atlantis Spring/Summer 2016, 24)

(Sarewitz, The New Atlantis Spring/Summer 2016, 28)

search engines.

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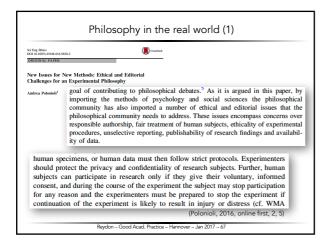


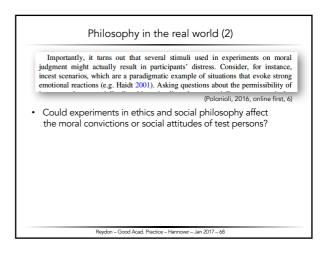


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e solved; r. whom

In the future, the most valuable science institutions will be closely linked to the people and places whose urgent problems need to be solved; they will cultivate strong lines of accountability to those for whom solutions are important; they will incentivize scientists to care about the problems more than the production of knowledge. They will link research agendas to the quest for improved solutions—often technological ones—rather than to understanding for its own sake. The science they





Philosophy in the real world (2)

Importantly, it turns out that several stimuli used in experiments on moral judgment might actually result in participants' distress. Consider, for instance, incest scenarios, which are a paradigmatic example of situations that evoke strong emotional reactions (e.g. Haidt 2001). Asking questions about the permissibility of (Polonioli, 2016, online first, 6)

- · Could experiments in ethics and social philosophy affect the moral convictions or social attitudes of test persons?
 - Might be perceived as "moral training'
 - Communication of percentages of the population who make a particular choice (majority attraction)

 - Risk of feeding into widespread prejudices

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· Could results be received by the public with adverse effects?

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 - · Again, majority attraction
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