**Rules of Good Research Practice
at the European University Viadrina Frankfurt (Oder)
(Guideline)**

**Dated
November 3, 2021**

The European University Viadrina is committed to upholding good research practice and has established the following rules in accordance with the resolutions of the General Assembly of the DFG dated July 3, 2019:

Part A: Principles

§ 1

General Principles

Every researcher at the European University Viadrina is responsible for ensuring that their own conduct complies with the standards of good research practice. This includes working lege artis, maintaining strict honesty regarding their own contributions and those of third parties, consistently questioning their own research results, and allowing and promoting critical discourse within the academic community.

§ 2

Professional Ethics

(1) Researchers are responsible for realizing the fundamental values and norms of academic work in their actions and for taking responsibility for them. The teaching of the fundamentals of good academic work begins at the earliest possible stage of academic training. Researchers at all career levels regularly update their knowledge of the standards of good research practice and of the state of research.

(2) Experienced researchers and researchers in the qualification phase support each other in the continuous process of learning and further qualification and engage in regular exchange.

§ 3 Responsibility of the University Management

(1) The university management creates the necessary framework conditions for academic and scientific work. It is responsible for ensuring compliance with and imparting good scientific practice and for providing appropriate career support for all researchers. It guarantees the conditions necessary for researchers to comply with legal and ethical standards. These framework conditions include clear and written procedures and principles for personnel selection and development, for the promotion of researchers in the qualification phase, and for the creation of equal opportunities.

(2) University management is responsible for an appropriate institutional organizational structure. This ensures that, depending on the size of the individual academic units, the tasks of management, supervision, quality assurance, and conflict resolution are clearly assigned and communicated appropriately to the respective members and affiliates.

(3) Gender equality and diversity are taken into account in the selection and development of personnel. The corresponding processes are transparent and avoid non-intentional influences as far as possible. Appropriate support structures and supervision concepts are established for researchers in the qualification phase. Advice on career development, continuing education opportunities, and mentoring are offered to academic and academic support staff.

§ 4

Responsibility of the Leadership of Work Units

(1) The leadership of an academic work unit is responsible for the entire unit. Cooperation in academic work units is structured in such a way that the group as a whole can fulfill its tasks, that the necessary cooperation and coordination take place, and that all members are aware of their roles, rights, and responsibilities. The leadership's tasks include, in particular, ensuring adequate individual supervision of researchers in the qualification phase, which is embedded in the overall concept of the work unit, and promoting the career development of academic and academic support staff.

(2) The size and organization of the academic work unit shall be such that the leadership tasks, particularly the impartation of competencies, academic supervision and support, and supervisory and support duties, can be adequately performed. The performance of leadership tasks goes hand in hand with the corresponding responsibility.

(3) Academic and academic support staff enjoy a balance of support and personal responsibility appropriate to their career stage. They are granted adequate status with corresponding participation rights. They shall be enabled to shape their careers through increasing independence.

(4) To prevent abuse of power and the exploitation of dependencies, appropriate organizational measures shall be developed both at the level of the individual academic work unit and at the leadership level of research institutions.

§ 5

Performance Dimensions and Evaluation Criteria

(1) To assess the performance of researchers, a multidimensional approach, which incorporates discipline-specific criteria, is required. The assessment of performance is based on qualitative standards, with quantitative indicators taken into account in a differentiated and reflected manner.

(2) In addition to the acquisition of knowledge and its critical reflection, other performance dimensions are also included in the assessment, such as commitment to teaching, academic self-administration, and knowledge and technology transfer. The academic attitude of the researcher, such as openness to new findings and willingness to take risks, is also taken into account.

(3) Personal, family-related, or health-related absences or any resulting extension of training or qualification periods, alternative career paths, or comparable circumstances are taken into account as appropriate. If voluntarily disclosed, individual life circumstances are taken into account in addition to the categories specified in the General Act on Equal Treatment (*Allgemeines Gleichbehandlungsgesetz)*.

Part B: Research Process

§ 6

Cross-phase Quality Assurance

(1) Researchers carry out each step in the research process in accordance with best practice (*lege artis)* and guarantee continuous quality assurance throughout the research process, in particular with regard to compliance with subject-specific standards and established methods, the collection, processing, and analysis of research data, and the selection, use, development, and programming of research software.

(2) When research findings are made publicly available, the quality assurance mechanisms used are always set forth. This applies in particular when new methods are developed.

(3) If researchers have made findings publicly available and subsequently notice discrepancies or errors, they shall correct them. If the discrepancies or errors give rise to the withdrawal of a publication, the researchers shall contact the relevant publisher or infrastructure provider etc. as soon as possible to ensure that the correction or withdrawal is made and indicated accordingly. The same applies if the researchers are made aware of such discrepancies or errors by third parties.

(4) The origin of data, materials, and software used in the research process shall be identified and their reuse documented; the original sources shall be cited. The type and scope of research data generated in the research process shall be described. Its handling shall be organized in accordance with the requirements of the relevant discipline. The source code of publicly accessible software must be persistent, citable, and documented. The fact that results or findings can be replicated or confirmed by other researchers is an essential part of quality assurance, depending on the subject area concerned.

§ 7

Actors, Responsibilities, and Roles

The roles and responsibilities of the researchers involved in a research project and of the research support staff must always be clear during a research project. The participants in a research project are in regular communication with each other. They define their roles and responsibilities in an appropriate manner and adjust them if necessary. An adjustment is particularly advisable if the focus of the work of a participant in the research project changes.

§ 8

Research Design

(1) When planning a research project, researchers shall take comprehensive account of the current state of research. The identification of relevant and suitable research questions requires careful research into research results that have already been made publicly available. The European University Viadrina shall provide the necessary framework conditions and resources for this.

(2) Methods for avoiding (unconscious) distortions in the interpretation of findings are applied as far as possible. Researchers examine whether and, if so, to what extent gender and diversity may be relevant to the research project (regarding the methods, work program, objectives, etc.). When interpreting findings, the respective framework conditions are taken into account.

§ 9

Legal and Ethical Framework Conditions; Rights of Use

(1) Researchers shall take into account rights and obligations, in particular those arising from legal requirements, but also from contracts with third parties, and shall obtain approvals and ethical votes (*Ethikvoten*) where necessary and submit them. With regard to research projects, a thorough assessment of the research consequences and the evaluation of the respective ethical aspects shall be carried out.

(2) Researchers shall be continuously aware of the risk of misuse of research results. Their responsibility is not limited to compliance with legal requirements, but also includes the obligation to use their knowledge, experience, and skills in such a way that risks can be identified, assessed, and evaluated.

(3) Scientists shall, as far as possible and reasonable, reach documented agreements on rights of use at the earliest possible stage of the research project. The data shall be used in particular by those researchers who collected it. Within the framework of an ongoing research project, the persons entitled to use the data shall also decide (in particular in accordance with data protection provisions) whether third parties shall have access to the data.

(4) The European University Viadrina shall develop binding principles for research ethics and procedures for the appropriate assessment of research projects.

§ 10

Methods and Standards

To answer research questions, researchers shall use academically sound and comprehensible methods. Where necessary, the specific skills required to apply a method shall be covered through close cooperation. When developing and applying new methods, researchers attach particular importance to quality assurance and the establishment of standards.

§ 11

Documentation

(1) Researchers document all information relevant to the achievement of a research result in a manner as comprehensible as required and appropriate in the relevant field in order to enable the results to be verified and evaluated. This includes, in particular, documenting the research data used or generated, the methods, the evaluation and analysis steps and, where applicable, the development of the research hypothesis, ensuring the traceability of citations and, as far as possible, granting third parties access to this information. When developing research software, the source code shall be documented. The documentation shall principally also include individual results that do not support the research hypothesis. The selection of results shall be avoided in this context. If the documentation does not meet these requirements, the limitations and reasons behind this shall be explained in a comprehensible manner.

(2) The documentation and research results shall not be manipulated; they shall be protected against manipulation in the best possible manner.

§ 12

Making Research Results Publicly Available

(1) As a matter of principle, researchers shall make all results publicly available to the scientific discourse. They are responsible for deciding, considering the customs of the relevant field, to what extent there are reasons in individual cases to deviate from this principle and to refrain from making the results publicly available. This decision must never depend on third parties.

(2) Publications of research results shall describe the results in their entirety and comprehensibly. This also includes, as far as possible and reasonable, making available the research data, materials, and information on which the results are based, the methods used, and the software employed, and providing a comprehensive description of the work processes. Self-programmed software shall be made publicly available along with the source code. Researchers shall provide complete and accurate references of their own and others' preliminary work.

(3) Researchers shall avoid unduly fragmented publications. They shall limit the repetition of the content of their publications as (co)authors to the extent necessary for understanding the context. They shall cite their previously published results as long as this may not be omitted due to discipline-specific practice in individual exceptions.

§ 13

Authorship

(1) An author is someone who has made a genuine, verifiable contribution to the content of a publication of an academic text, data, or software. All authors must agree to the final version of the work to be published. They bear joint responsibility for the publication unless explicitly stated otherwise.

(2) Whether a contribution is genuine and comprehensible must be determined individually in each case and depends on the subject area concerned. A verifiable, genuine contribution is deemed to have been made in particular if a researcher has contributed in an academically significant manner to

- the development and conception of the research project, or
- the development, collection, procurement, or provision of data, software, or sources, or
- the analysis, evaluation, or interpretation of the data, sources, or the conclusions drawn from them, or
- the writing of the manuscript.

The contribution must be relevant to the academic content of the publication. If a contribution is not sufficient to justify authorship, it may be acknowledged appropriately in footnotes, in the foreword, or in the acknowledgments.

(3) Honorary authorship without a genuine and verifiable contribution is not permitted. A management or supervisory role does not in itself constitute co-authorship.

(4) Authors shall make sure and, as far as possible, endeavor to ensure that their research contributions are marked by publishers or infrastructure providers in a way that they can be correctly cited by users.

(5) Researchers shall agree who is to be named as the author of the research results. The order of authorship shall be agreed upon in good time, usually at the latest when the manuscript is drafted, based on comprehensible criteria, taking into account the conventions of each field. The necessary consent to publish research results shall not be refused without sufficient reason. Refusal of consent must be justified with verifiable criticism of data, methods, or results.

§ 14

Publication Medium

Authors shall choose the publication medium carefully, taking into account its quality and visibility in the respective field. Researchers who assume the role of editors shall carefully consider which publication organs they will take on this responsibility for. The academic quality of a contribution does not depend on the publication organ in which it is published. In addition to publications in books and journals, specialized repositories, data and software repositories, and blogs are also particularly suitable. A new or unknown publication medium is reviewed for its respectability. An essential criterion in the selection decision is whether the publication medium has established its own guidelines for good research practice.

§ 15

Archiving

Researchers shall archive publicly accessible research data or research results, as well as their underlying key materials and, where applicable, the research software used, in accordance with the standards of the relevant field, and store them for a period of 10 years in an accessible and traceable manner at the institution where they were created or in cross-location repositories. In justified cases, shorter storage periods may be appropriate; the reasons for this shall be described in a comprehensible manner. The storage period shall commence on the publication date of the data or results. If there are comprehensible reasons for not retaining certain data, the researchers shall explain this. The European University Viadrina shall ensure that the necessary infrastructure is in place to enable archiving.

§ 16 Confidentiality and Neutrality in Reviews and Consultations

(1) Researchers who evaluate submitted manuscripts, funding applications, or the qualifications of individuals are bound to strict confidentiality in this regard. The confidentiality of third-party content to which the reviewer or committee member has access excludes disclosure to third parties and personal use.

(2) Researchers shall immediately disclose to the responsible body any conflicts of interest or biases that could exist in relation to the research project under review or the person or subject of the consultation. They shall disclose all facts that could give rise to concerns about bias.

(3) The obligation to maintain confidentiality and to disclose facts that could give rise to concerns of bias also applies to members of scientific advisory and decision-making bodies.

Part C: Non-compliance with Good Research Practice

§ 17

Ombudsperson

The Ombudsperson of the European University Viadrina acts as a neutral and qualified contact person for questions of good research practice and in cases of suspected academic misconduct and, as far as possible, contributes to solution-oriented conflict mediation. All members and affiliates of the university may contact the Ombudsperson for mediation in a conflict or for advice on the rules for good research practice. The appointment of an ombudsperson and his or her deputy, their tasks, responsibilities, and rights are set out in the "Statutes on the Prevention of Academic Misconduct and the Procedure in Cases of Suspected Academic Misconduct at the European University Viadrina Frankfurt (Oder)" in the currently valid version.

§ 18

Procedure in Cases of Suspected Academic Misconduct

The procedure for dealing with allegations of academic misconduct is set out in the "Statutes on the Prevention of Academic Misconduct and the Procedure in Cases of Suspected Academic Misconduct at the European University Viadrina Frankfurt (Oder)" in the currently valid version.