

Guidelines for Research Ethics  
for the Einstein Foundation Award for Promoting Quality in Research  
awarded by the Einstein Foundation Berlin

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## **Preamble**

The Einstein Foundation aims to foster good research practices where the scientific endeavour is characterized by civil rights, respect and non-discrimination, and adherence to the general guidelines for research ethics.

The Einstein Foundation has adopted these guidelines with kind permission from the [Kavli prize](#).

The Einstein Foundation will adhere to the Norwegian National Research Ethics Committees' General guidelines for research ethics, which are appended to this document. This includes the award procedures, as well as the associated selection processes and other related activities.

*The general guidelines for research ethics* include fundamental norms against dishonesty (fraud, fabrication, plagiarism), discrimination and harassment. (It is to be noted that in the General guidelines for research ethics, under point 9 Collegiality "Researchers must show each other respect" implies absence of discrimination and harassment). The breach of the general guidelines for research ethics may come from negligence, inappropriate citation or co-authorship practices, or from lack of reflection and attention to the role of science and its consequences for humans or the environment. The award of the prize and positions of trust needs to be carried out in a way that fosters the reputation of the Einstein Foundation and its ability to credibly promote and represent the science community. Accusations of unethical behaviour can undermine procedures, but one must also be aware that these may be motivated by personal or work-related conflicts. A fair process needs to be established in all cases, avoiding premature or automatic sanctions.

## **1. Members of the Jury and the Executive Board**

*Appointment of the jury and the executive board:* In addition to their scientific qualifications and credentials, the members of the jury and the executive board shall comply with the general guidelines for research ethics.

*A member of the jury or executive board is revealed to have been guilty of breach of the general guidelines for research ethics:* If the breach stands to harm the reputation of the prize, the Einstein Foundation shall require the member to leave the jury or executive board.

*A member of the jury or executive board is accused of having breached the general guidelines for research ethics:* In such a case the Einstein Foundation has the responsibility for adjudicating the accusation when the infraction occurred as part of the Foundation's activities. If not, the responsibility of the Foundation is to assess whether the outcome of the investigation by an external, responsible institution (e.g., employer or journal) documents a violation of the Einstein Foundation's code of conduct. This can take time. Expedited by the concern for the reputation of the prize, the Einstein Foundation may require the member of the jury or executive board to step down from the jury or board while the investigation is ongoing.

## **2. Ethical Considerations for Prize Laureates**

*Nomination and Application of prize laureates:* In the call for submissions sent out by the Einstein Foundation to the scientific community globally, adherence to general guidelines for research ethics shall be a requirement to be taken into account when nominating or applying.

A confirmation is required that the general guidelines for research ethics are taken into account in the nomination and application work.

*The evaluation of possible prize winners:* The quality and significance of the work carried out by the nominees will be evaluated by the jury. In addition, their adherence to the general guidelines for research ethics shall be evaluated by the executive board.

*The prize winner has been announced, but before the prize is awarded it is revealed that the winner has broken general guidelines for research ethics:* In the interest of protecting the reputation of the prize, the executive board shall evaluate and decide whether the award process needs to be discontinued.

*Accusations of breaches of general guidelines for research ethics are brought forward after the prize has been awarded:* If serious breaches of the general guidelines for research ethics are uncovered in the work that was awarded the prize, the executive board can revoke the prize.

**Annex** The Einstein Foundation adheres to the Norwegian National Research Ethics Committees' "General guidelines for research ethics" see next page or under: <https://www.forskningsetikk.no/globalassets/dokumenter/4-publikasjoner-som-pdf/general-guidelines.pdf>

# General guidelines for research ethics

Research is of great importance – to individuals, to society and to global development. Research also exercises considerable power at all these levels. For both these reasons, it is essential that research is undertaken in ways that are ethically sound.

## PRINCIPLES

- **Respect.** People who participate in research, as informants or otherwise, shall be treated with respect.
- **Good consequences.** Researchers shall seek to ensure that their activities produce good consequences and that any adverse consequences are within the limits of acceptability.
- **Fairness.** All research projects shall be designed and implemented fairly.
- **Integrity.** Researchers shall comply with recognized norms and to behave responsibly, openly and honestly towards their colleagues and the public.

**1 Quest for truth.** Research activity is a quest for new knowledge, with critical and systematic verification and peer review. Honesty, openness, systematicness and documentation are fundamental preconditions for achieving this goal.

**2 Academic freedom.** Research institutions shall assist in ensuring the researchers' freedom in their choice of topic and methodology, implementation of research and publication of results. In commissioned research, the commissioning agency has the right to define the topic, research questions and scope of the research assignment in cooperation with the person or institution undertaking the assignment. The commissioning agency should not seek to unduly influence choice of methodology, implementation or publication.

**3 Quality.** Research should be of high academic quality. The researcher and institution are required to possess the necessary competence, design relevant research questions, undertake suitable choices of methodology and ensure sound and appropriate project implementation in terms of data collection, data processing and safekeeping/storage of the material.

**4 Voluntary informed consent.** Consent is the main rule in research on individuals or on information and material that can be linked to individuals. This consent should be informed, explicit, voluntary and documentable. Consent presupposes the capacity to give such consent. To ensure real voluntariness, vigilance must be exercised in cases where the participant is in a dependency relationship to the researcher or in a situation of restricted freedom.

**5 Confidentiality.** As a general principle, those who are made the subjects of research are entitled to have their personal information treated confidentially. The

researcher must prevent any use and communication of information that might inflict damage on individuals who are the subjects of research. Irrespective of the duty of confidentiality, researchers have a legal obligation to avoid punishable offences. The researcher must decide when and in what way the participant should be informed about limitations of the duty of confidentiality.

**6 Impartiality.** Impartiality means avoidance of confusing roles and relationships in a way that may give rise to reasonable doubt concerning conflicts of interest. Openness regarding relevant roles and relationships that the researcher is involved in must be maintained in relation to colleagues, research participants, sources of finance and other relevant parties.

**7 Integrity.** The researcher is responsible for the trustworthiness of his or her own research. Fabrication, falsification, plagiarism and similar serious violations of good academic practice are incommensurate with such trustworthiness.

**8 Good reference practice.** Researchers must adhere to good reference practices, which fulfil requirements for verifiability and form the basis for further research.

**9 Collegiality.** Researchers must show each other respect. They must agree on and comply with good practices for data ownership and sharing, authorship, publication, peer review and cooperation in general.

**10 Institutional responsibility.** The responsibility for ethical conduct rests not only with the individual researcher, but also with the research institution. The institution is responsible for ensuring compliance with good academic practice and for establishing mechanisms that can address cases of suspected violations of ethical research norms.

**11 Availability of results.** As a main rule, research results should be made available. Openness regarding research findings is essential for ensuring verifiability, for returning some benefit to the research participants and society in general, and for ensuring a dialogue with the public. Such communication is also a function of democracy.

**12 Social responsibility.** Researchers have an independent responsibility to ensure that their research will be of benefit to research participants, relevant groups or society in general, and for preventing it from causing harm. Research decisions must take into account any knowledge that the development of a research area may entail ethically unacceptable consequences for individuals, animals, society or the environment. It is absolutely essential that when participating in public debate, the researcher clearly distinguishes between professional comments made in his or her capacity as an expert on the one hand and statements of personal opinion on the other, and refrains from abusing his or her authority.

**13 Global responsibility.** Research institutions and researchers have a responsibility to communicate relevant knowledge to regions that are otherwise excluded for reasons of economic disadvantage. Research should help counteract global injustice and preserve biological diversity.

**14 Laws and regulations.** In the field of research, there are national laws and regulations as well as applicable international conventions and agreements, and researchers and research institutions must abide by these.