

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

Berlin, January 7, 2022  
Updated, Berlin January 17, 2024

**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", <https://www.etikkom.no/en/ethical->

[guidelines-for-research/general-guidelines-for-research-ethics/](#). It is to be noted that under point 9 Collegiality “Researchers must show each other respect” implies absence of discrimination and harassment