

## Einstein Foundation Award for Promoting Quality in Research

The Jury has adopted the following Rules of Procedure for the Einstein Foundation Award for Promoting Quality in Research, presented in cooperation with the BIH QUEST Center for Responsible Research.

### Section 1 Membership

- (1) The Jury members are appointed by the Einstein Foundation.
- (2) In addition to their scientific qualifications and credentials, the members of the Jury shall comply with the Guidelines for Research Ethics.
- (3) The Jury elects a president and a vice president from among its members by a simple majority of the votes for a term of three years.
- (4) The Jury president monitors the activities of the Jury and collaborates with the Awards Committee to ensure that the necessary communication structures and procedures are in place. The President convenes the Jury meetings and chairs them.
- (5) The Jury shall consist of at least 12 and a maximum of 15 members.
- (6) The Jury shall reflect the diversity of the research community in its membership structure and decision-making processes.
- (7) The Jury shall consist of at least two representatives of each of the following fields: natural sciences, social sciences, and humanities.
- (8) Members will be appointed for a term of three years. The Foundation may reappoint members for one additional term.

### Section 2 Confidentiality

- (1) The Jury members maintain confidentiality regarding the content of their deliberations as well as all other information linked to their role as Jury members. This obligation to maintain confidentiality extends beyond Jury membership.
- (2) Unpublished documents provided to the Jury shall be treated confidentially.
- (3) In all cases, an embargo applies until the name of the winners is officially announced. For transparency purposes, the Einstein Foundation may make public the names of the Jury members, as well as their authorized photographs.

### Section 3 Neutrality

- (1) All Jury members undertake to assess the submitted entries and all related documents in an impartial and neutral manner.
- (2) Throughout their service on the jury, members are ineligible for nomination and prohibited from submitting nominations and/or applications. Moreover, institutions where jury members hold leadership roles are ineligible for consideration in the selection process during this period. The same restriction applies to Early Career Researcher teams involving jury members; such teams cannot be considered during the tenure of the jury members.
- (3) In instances where there is a potential bias distinct from that outlined in (2)—such as when an award entry is submitted by an institution or individual with whom the jury member is professionally affiliated or has been affiliated within the past five years—the concerned jury member will suspend their activities on the jury for the corresponding session.

The procedure for identifying, communicating, and handling conflicts of interest (COIs) is outlined as follows:

a) If the awards office detects a significant conflict of interest or if jury members disclose one, the awards office will determine whether it falls under category (2) or (3). In the case of (2), the concerned candidate will be informed of their ineligibility and will not be considered further for the current award cycle.

b) For a COI falling under category (3), the respective jury member will receive notification of their exclusion from the session. Specifically, they will be moved to a waiting room after the introduction of the candidates for the relevant award category. They will return to the meeting after the winner has been selected. This protocol will be followed regardless of whether the candidate in question advances to the final vote.

c) If the respective jury member wishes to provide information or comments on other shortlisted candidates in this award category, they are cordially invited to share these insights in advance with the award secretary who will address these contributions during the discussion.

#### **Section 4 Majority Decision**

- (1) If the votes of the Jury are not unanimous, the majority principle will apply. Majority decisions shall be accepted by all Jury members. The Jury must always come to a decision. The Jury President has the right to veto a decision. In the case of a tied vote, the vote of the Jury President is decisive.
- (2) A quorum shall consist of a majority of the Jury members.
- (3) Jury meetings will be held online.
- (4) Minutes will be kept of all Jury meetings and made available to all participants for review and approval within 14 days after each meeting.

#### **Section 5 Einstein Foundation Executive Board**

- (1) The chair of the Einstein Foundation board may attend the Jury's selection meetings as an observer without voting rights.
- (2) The Einstein Foundation Executive Board reviews the shortlist selected by the Jury to ensure that potential awardees will foster the reputation of the Einstein Foundation. Only publicly available information can be used during the approval process. Prior to the final selection meeting, the Executive Board will let the Jury know a) that all shortlisted candidates are eligible; or b) if one or more candidate(s) are not eligible due to justifiable reasons and will therefore be excluded from the shortlist; or c) that there are concerns that have not yet been conclusively resolved, so the candidates concerned must be deferred from selection until the matter has been fully clarified.
- (3) The Board will confirm the Jury's final decision in the form of a resolution and will inform the Foundation Council of the prizewinners selected by the Jury.

#### **Section 6 Shortlisted Candidates**

Candidates who make it to the shortlist and are recognized as deserving by the jury but are not chosen for the current award may be suggested for reconsideration in the subsequent award cycle. With the consent of the applicants or nominators, the Awards Office would seamlessly incorporate this candidate onto the shortlist for the following year, eliminating the requirement for resubmission.

## **Section 7 Presentation of the Awards**

The Einstein Foundation reserves the right to extend invitations to jury members whose expertise aligns closely with the selected winners for the award presentation at a festive event in Berlin. The Foundation will handle all arrangements, including flight and accommodation bookings, and cover all associated expenses for the invited members.

Berlin, December 19, 2023