

**Please note:**

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## **Code of Good Research Practice at the University of Mannheim**

as at

<sup>1</sup>Based on section 3 subsection 5(4) of the Act on Higher Education of the Land of Baden-Württemberg (LHG) the senate of the University of Mannheim passed the following Code of Good Research Practice on 3 December 2014.

<sup>2</sup>In the German language version of the Code, this sentence deals with the subject of gender-neutral language. For the English language version, this is not relevant and therefore omitted.

### **Preliminary Note**

<sup>1</sup>Research is the pursuit of knowledge. <sup>2</sup>Researchers examine the findings of other researchers and may decide to use these findings as a basis for their work. <sup>3</sup>Thus, scientific progress and acceptance of research results in the academic community and in society depend on research integrity. <sup>4</sup>A breach of research integrity does not only constitute an act of personal misconduct but also undermines the foundation of scientific progress and the trust in the relevance of scientific findings as a bedrock of modern societies.

<sup>5</sup>Research integrity and the unconditional pursuit of the truth are of the utmost importance throughout the entire research process and the presentation and publication of research results. <sup>6</sup>This includes the recognition and appreciation of the work of other researchers, the consideration of results which may question already reported results and the support of the work of fellow researchers and colleagues. <sup>7</sup>It is the duty of all students and scholars of the University of Mannheim to uphold research integrity. <sup>8</sup>The University of Mannheim provides the conditions for honest academic research, promotes honest behavior and shall take action against any form of research misconduct.

<sup>9</sup>To this end, this Code establishes the principles of good research practice for the University of Mannheim. Adherence to this Code is fundamental for any academic work. <sup>10</sup>This document shall increase the level of awareness of these principles and calls upon scholars to strictly adhere to them and upon the university as an institution to create and maintain an environment that fosters research integrity and discourages academic dishonesty.

<sup>11</sup>Still, this Code cannot and does not intend to give an exhaustive definition of good research practice. <sup>12</sup>The particularities of every single field of research must be taken into account. <sup>13</sup>This Code shall rather be a guideline providing a framework of rules which shall not be breached under any circumstances when undertaking scholarly work. <sup>14</sup>The following rules shall be binding for all students and scholars of the University of Mannheim.

<sup>15</sup>The University of Mannheim adheres to the recommendations of the German Research Foundation (DFG) on Safeguarding Good Scientific Practice<sup>1</sup>, the recommendations of the German Rector's Conference on handling scientific misconduct at higher education institutions<sup>2</sup> and the recommendations of the DFG and the German National Academy of Sciences Leopoldina on Handling Security-Relevant Research<sup>3</sup>. <sup>16</sup>The following rules are based on said recommendations.

## Section 1 - General Principles

(1) <sup>1</sup>The individual sense of responsibility for adhering to the rules of good research practice and to legal regulations as well as the awareness of possible consequences of one's own research are essential for honest research work that is accepted in society. <sup>2</sup>All students and scholars, including visiting scholars and fellowship holders of the University of Mannheim are therefore obliged to

1. follow the acknowledged rules particular to their discipline,
2. record their results,
3. consistently question their own research results,
4. be honest about the work of partners, rivals and predecessors,
5. avoid research misconduct and not tolerate misconduct of others,
6. reflect on and consider very carefully the use of their own research and possible damage resulting from misuse of their research results and
7. adhere to the following further principles of good research practice.

(2) <sup>1</sup>Each school, center, institution and research group of the University of Mannheim shall set an example of good research practice. <sup>2</sup>The schools, centers and institutions of the University of Mannheim are responsible for providing students and young researchers with information about research misconduct and the principles of good research practice as laid down in this Code. <sup>3</sup>For students, this shall be done in regular courses providing an introduction to academic writing and research. <sup>4</sup>In particular, young researchers and students shall be taught about the importance of honesty, their responsibilities with regard to scholarly activities, and become aware of

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<sup>1</sup> German Research Foundation, "Safeguarding Good Scientific Practice", 1998; in the updated version of 2013.

<sup>2</sup> German Rector's Conference, "Zum Umgang mit wissenschaftlichem Fehlverhalten in den Hochschulen, Empfehlung des 185. Plenums vom 6. Juli 1998" and "Recommendations of the 14th General Meeting of the German Rectors' Conference (HRK) on 14 May 2013 in Nuremberg, Good scientific practice at German higher education institutions".

<sup>3</sup> German Research Foundation and German National Academy of Sciences Leopoldina, "Scientific Freedom and Scientific Responsibility", 2014.

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possible research misconduct. <sup>5</sup>This includes the obligation to be alert, not only in regard to one's own research but also in regard to possible misconduct of others.

(3) <sup>1</sup>The university takes its institutional responsibility seriously. In addition to its measures to detect and deal with research misconduct, it is working towards creating and promoting an environment which encourages students and scholars to adhere to the principles of good research practice and prevents research misconduct. <sup>2</sup>The university places particular value on quality rather than quantity, and evaluates academic work and applications based on this principle.

## **Section 2 - Additional Principles of Good Research Practice**

### (1) Open academic discourse

<sup>1</sup>Researchers shall consistently examine the accuracy of their results. <sup>2</sup>Open academic discourse serves to critically question results and to discuss different points of view. <sup>3</sup>Essential elements of open academic discourse are to encourage scientific criticism and freedom of expression regardless of hierarchies, and to acknowledge past and present ideas and findings of others and cite them as such. Moreover, researchers shall promote the willingness to deal with subject-related criticism in unprejudiced dialog and acknowledge mistakes or conclusions proven wrong by others without any reservations.

### (2) (Co-)authorship and academic publications

If recognized practices particular to the discipline do not determine otherwise, the following rules shall apply for academic publications:

1. The term "original work" ("Originalarbeit") shall only be used for the first publication of new findings or results, including the conclusions drawn from them. Multiple publication of the same results is only allowed if the original work is explicitly referenced.
2. If more than one person works on a project, those who contribute in a substantial and independent way to the research and its publication shall be named as co-authors in the publication of the results. Those who did not contribute in a substantial and independent way to the research or its publication shall not be named as co-authors. It is therefore not possible to name, for example, a superior or an examiner of a paper as honorary author simply because of the position that they hold.
3. Co-authors are responsible for ensuring that their contribution to the publication is up to academic standards. This means that co-authors are responsible for the accuracy of their contribution and its adequate integration in the publication. Furthermore, co-authors shall not accept misconduct of others, in particular of the other co-authors of their publication.
4. Reports on new research results shall include a complete and comprehensible presentation of the results and the applied methods.

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5. One's own previous work or that of others shall be cited completely and accurately according to the practices particular to the discipline, including the author's name and the name of the publication. Results published earlier shall only be repeated in a publication if they are explicitly referenced as such.
6. For empirical research, the following principles also apply:
  - a) Studies shall be replicable. Therefore, publications shall include a complete and detailed description of the methods of data collection, the statistic analysis and the results in order to allow for verification of the results through replication.
  - b) After its publication, research data shall be passed on for further scholarly use provided that this does not violate any legal or contractual regulations.
  - c) Concerning the interpretation and publication of empirical results, findings that challenge the hypothesis of the author shall be reported as well as the findings that support it.
  - d) If data from a data collection is used in more than one publication, later publications shall explicitly name prior publications which feature the same data set.

### (3) Securing and storing primary data

<sup>1</sup>The person responsible for the research project shall make sure that the original data set, on which publications, patents and/or follow-up works are based, is stored on durable and secure data storage devices for at least ten years after publication or patenting. Moreover, this person shall ensure that the respective organizational unit (school, institution) makes the data sets available to monitoring bodies, in particular the Standing Committee for the Investigation of Research Misconduct Allegations, provided that this does not violate any legal or contractual regulations. <sup>2</sup>It shall be ensured that the core statement of an academic paper is verifiable and comprehensible through the original data set for a minimum of 10 years. <sup>3</sup>Further storage obligations due to legal regulations or requirements of external funding institutions to ensure public accessibility of primary data and measures concerning the protection of personal data remain unaffected.

### (4) Organization

<sup>1</sup>All responsible persons, in particular the President's Office, deans and heads of institute shall ensure that the tasks of management, supervision, conflict resolution and quality management are adequately organized, assigned and accomplished. <sup>2</sup>This includes ensuring adequate supervision of theses and dissertations, competent management of research projects as well as assignment of ombudsmen or women and ensuring the efficiency of the Standing Committee for the Investigation of Research Misconduct Allegations.

### (5) Priority of quality over quantity

The performance and evaluation criteria for examinations, academic degrees, promotions, recruitment and appointments should be determined in such a way that originality and quality of academic work always take priority over quantity.

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#### (6) Young researchers

<sup>1</sup>Particular attention shall be paid to the education and promotion of young researchers. <sup>2</sup>At the beginning of their work, supervisors shall inform young researchers of their obligation to adhere to this Code of Good Research Practice. <sup>3</sup>Supervision tailored to individual needs and support by experienced researchers during the entire qualification phase shall create an environment that encourages adherence to this Code.

#### (7) Research data repository and open access

<sup>1</sup>In order to record, store and make primary data accessible, the University of Mannheim has a research data repository (currently MADATA), which may be used by members of the University of Mannheim. <sup>2</sup>To support the accessibility and verifiability of research results, the University of Mannheim gives researchers the opportunity to publish their research results on the university's open access publication server. <sup>3</sup>The university library is available to answer any questions concerning publication.

### **Section 3 - Discipline-specific Statutes of the University of Mannheim on Principles of Good Research Practice**

<sup>1</sup>The schools of the University of Mannheim may establish individual statutes for certain disciplines specifying the principles of good research practice named in section 2, for example regarding citation, written academic work (especially theses and dissertations) or the public accessibility of primary data. <sup>2</sup>These additional statutes shall not determine a standard that is lower than the standard set out in this Code. <sup>3</sup>The statutes shall apply to research as well as teaching. <sup>4</sup>They shall be published in an appropriate manner.

### **Section 4 - Contacts**

Ombudsmen or women as defined by the Statutes of the University of Mannheim on Procedures for Handling Research Misconduct and the DFG liaison officer (Vertrauensdozent) at the University of Mannheim are the contact persons for questions about good research practice for all scholars.

### **Section 5 - Other Regulations**

(1) Regulations on how to deal with allegations of research misconduct are laid down in separate statutes.

(2) If a scholar at the University of Mannheim is simultaneously bound to regulations of other academic institutions which determine a lower standard than this Code, he or she is nevertheless obligated to adhere to this Code.

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## Section 6 - Commencement

This Code will come into effect on the day of its publication in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats).

### Issued:

Mannheim, .....

Prof. Dr. Ernst-Ludwig von Thadden  
President

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