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that the scientific staff can comply with legal and ethical standards. The framework conditions include clear and written procedures and principles for personnel selection and development as well as for the promotion of young scientists and equal opportunities.

Explanations:

GEOMAR has developed clear, written procedures and principles for

- Standards for advertising and filling positions
- Structured, gender-equitable personnel selection procedures
- An equal opportunities plan
- Transparent guidelines for permanent employment
- A conflict counselling and complaints office with regular consultation hours
- An offer for confidential individual career counselling
- Access for employees from science, administration and management to the Helmholtz Association's mentoring programme
- Standards for structured doctoral training

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- Ombudspersons receive the necessary support and acceptance from GEOMAR in the fulfilment of their tasks; in order to increase the functionality of the ombudsman system, GEOMAR provides for measures to relieve the ombudspersons in other ways
- GEOMAR employees can contact either the GEOMAR ombudsperson or the supra-regional "Ombudsman Committees for Science" in the Helmholtz Association.

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point out such discrepancies or errors. Corrected publications are also recorded in the GEOMAR OceanRep publication database.

## Guideline 8: Actors, responsibilities and roles

The roles and responsibilities of the scientific and science-related persons involved in a research project must be clear at all times.

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- Scientists take particular account of the aspects associated with safety-relevant research (dual use)
- GEOMAR is responsible for ensuring that the actions of its employees comply with the rules and promotes this through suitable organisational structures. GEOMAR develops binding principles for research ethics and procedures for the corresponding assessment of research projects
- Scientists enter into documented agreements on the rights of use as early as possible in the research project. This is ensured by the employees of the Technology Transfer and Legal Affairs teams at GEOMAR, among others.
- Documented agreements are the rule at GEOMAR if several institutions are involved in a research project or if it is foreseeable that a scientist will change research institutions and would like to use the data generated by them for their own research purposes. The copyright belongs to the scientist who collects it. The employer (GEOMAR) is generally entitled to the rights of use on the basis of an employment contract agreement. GEOMAR, represented by the head of the working group, consults with the scientists (and science-related personnel) on the possible utilisation of the rights of use. In the context of an ongoing research project, GEOMAR, represented by the head of the working group (and science-related personnel), decides whether third parties should be granted access to the data. This is usually the case if rights of use are required by project partners for the successful realisation of research projects.

All research projects at GEOMAR must comply with the DFG's current guidelines for "Animal Experiments in Research". In addition, experiments and studies must be designed in such a way that damage to the environment and organisms is minimised.

## Guideline 11: Methods and standards

Scientists use scientifically sound and reproducible methods to answer research questions. When developing and applying new methods, they attach particular importance to quality assurance and the establishment of standards.

### Explanations:

The application of a method requires specific competences, which may be covered by corresponding collaborations. The establishment of standards for methods, the use of software, the collection of data and the description of results are prerequisites for the comparability and transferability of research results.

## Guideline 12: Documentation

Researchers document all information relevant to the production of a research result in such a comprehensible manner as is necessary and appropriate in the specialist area concerned.

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respective requirements. If the documentation does not fulfil these requirements, the limitations and the reasons for them must be clearly explained. Documentation and research results must not be manipulated; they must be protected against manipulation as far as possible.

Explanations:

An important basis for enabling replication is the information about

- used or emerging research data
- Methodological, evaluation and analysis steps
- If necessary, document the development of the hypothesis Traceability of citations

Guideline 13: Establishing public access to research results

Where possible, third parties are authorised to access this information. When developing research software, the source code is documented. To support this culture, various guidelines at GEOMAR provide orientation and further detailed information:

- Guidelines for scientific publications
- Guidelines on the utilisation and licensing of research software

Taking into account the idea of "quality over quantity", scientists avoid inappropriately small publications. They limit the repetition of the contents of their publications to the extent necessary for understanding the context and mark them as repetitions. Researchers provide complete and correct references to their own and other researchers' preliminary work.

Guideline 14: Authorship

An author is anyone who has made a genuine, comprehensible contribution to the content of a scientific text, data or software publication. All authors agree to the final version of the work to be published. They bear joint responsibility for the publication, unless explicitly stated otherwise. Authors shall ensure and, as far as possible, work towards ensuring that their research contributions are labelled by the publishers or infrastructure providers in such a way that they can be correctly cited by users.

Explanations:

The contribution must be made to the scientific content of the publication. When a

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Honorary authorship where no such contribution has been made is not permitted. A management or supervisor function does not in itself justify co-authorship. If a contribution does not justify co-authorship, the support can be appropriately recognised in footnotes, in the foreword or in the acknowledgement.

The participating scientists agree on the authorship. Agreement on the order of authorship



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- The: The person affected by the allegations should not suffer any disadvantages from the investigation of the suspicion until scientific misconduct has been formally established.
- The whistleblower must have objective evidence that standards of good scientific practice may have been violated.
- If the whistleblower cannot check the facts themselves or if there are uncertainties, the whistleblower should contact a local ombudsperson or higher-level bodies such as the "Ombudsperson for Science" committee or the HGF's central ombudsman's office to clarify the suspicion.
- GEOMAR decides on its own responsibility whether it will also review anonymous reports. An anonymous report can only be considered in a procedure. The investigation may only be carried out if the person providing the information presents reliable and sufficiently concrete facts to the investigating body.
- If the whistleblower is known by name, the investigating body shall treat the name confidentially and shall not disclose it to third parties without the corresponding consent. This only applies if there is a legal obligation to do so or if the person affected by the allegations would otherwise not be able to defend themselves properly because the identity of the whistleblower is exceptionally important for this.
- Before the name of the whistleblower is disclosed, he/she will be informed immediately; the whistleblower can decide whether to withdraw the report if it is foreseeable that the name will be disclosed.
- The confidentiality of the procedure is restricted if the: The whistleblower reports the suspicion to the public. The investigating

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Result of the preliminary investigation - final report of the ombudspersons:

The ombudspersons then draw up a report on the outcome of the preliminary investigation.

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- Revocation of academic publications
- Consequences under labour law, such as a warning or Dismissal
- Consequences under civil law, such as the issuing of a house ba 5(en)-1035 595.2boc1(u)5(r)