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

Berlin 07 January 2022

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

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

*A member of the jury 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.
A jury member is accused of having breached the general guidelines for research ethics: In such a case the Einstein Foundation has the responsibility for evaluating the accusation. This can take time. Expedited by the concern for the reputation of the prize, the Einstein Foundation may require the jury member to step down from the jury 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 jury evaluation of possible prize winners: In addition to the quality and significance of the research carried out by the nominees, their adherence to the general guidelines for research ethics shall also be evaluated.

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 Einstein Foundation 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 Einstein Foundation Board can revoke the prize.

Next page: 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
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**

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

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.