

# Regulations on Safeguarding Academic Integrity

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Albert-Ludwigs-Universität Freiburg



## Important sources

### DFG White Paper “Safeguarding Good Scientific Practice”

http:

[//www.dfg.de/en/research\\_funding/principles\\_dfg\\_funding/good\\_scientific\\_practice](http://www.dfg.de/en/research_funding/principles_dfg_funding/good_scientific_practice)

### Regulations of the University of Freiburg on Safeguarding Academic Integrity

<https://uni-freiburg.de/forschung/redlichkeit-in-der-wissenschaft/>

<https://uni-freiburg.de/research/academic-integrity/>

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+ some legal clauses

↔ Details from the regulations given in the following

## Regulations of the University of Freiburg – the essentials

### 1. Obligation to Uphold Academic Integrity

- ▶ All academic organs and members of the university (including the students) are bound to act in accordance with the rules of good academic practice.
- ▶ The University is committed to providing the necessary organizational structures and personnel for safeguarding academic integrity.
- ▶ The faculties and research centers are obligated to familiarize their students, researchers, etc. with the rules.



## Regulations of the University of Freiburg – the essentials

### 2. Rules of Good Academic Practice

- ▶ Principles of academic work:
  - ▶ working in accordance with accepted rules (lege artis),
  - ▶ documenting research findings,
  - ▶ showing honesty toward the work of partners, rivals, and predecessors,
  - ▶ avoiding academic misconduct and taking precautions to prevent it.
- ▶ Discipline-specific principles of academic work developed by the individual faculties and research centers
  - ↪ See also “Handreichung der Konferenz der Fachbereiche Physik (KFP)”  
[https://www.physik.uni-freiburg.de/studium/pruefungen/formulare-allgemein/KFP\\_Gute\\_wissenschaftliche\\_Praxis\\_160603.pdf/view](https://www.physik.uni-freiburg.de/studium/pruefungen/formulare-allgemein/KFP_Gute_wissenschaftliche_Praxis_160603.pdf/view)

## Regulations of the University of Freiburg – the essentials

### 3. Responsibilities of Heads of Research Groups and Research Institutes

- ▶ to serve as models of academic integrity,
- ▶ to ensure that management, supervision, quality assurance, and conflict settlement responsibilities are clearly delegated and properly observed,
- ▶ to make sure that students and doctoral candidates receive appropriate supervision and have a primary advisor to guide them in the principles of good academic practice.

Each faculty, each research center, and all other research institutes are responsible for maintaining an adequate organizational structure

- ▶ for management, supervision, quality assurance, and conflict settlement responsibilities,
- ▶ so that junior researchers receive the proper guidance and supervision.

## Regulations of the University of Freiburg – the essentials

### 4. Academic Publications

- ▶ Legal clauses on co-authorship  
→ “German Copyright Act” (BGBI. I p. 1273)
- ▶ Persons participating in a research project should get opportunity to attain co-authorship.  
Advice to project leaders: name potential co-authors before start of project.
- ▶ For the discipline-specific principles of academic work  
↔ see again “Handreichung der Konferenz der Fachbereiche Physik (KFP)”  
[https://www.physik.uni-freiburg.de/studium/pruefungen/formulare-allgemein/KFP\\_Gute\\_wissenschaftliche\\_Praxis\\_160603.pdf/view](https://www.physik.uni-freiburg.de/studium/pruefungen/formulare-allgemein/KFP_Gute_wissenschaftliche_Praxis_160603.pdf/view)

## Regulations of the University of Freiburg – the essentials

### 5. Instructions on the Rules of Good Academic Practice and Compliance

- ▶ Regulations should be handed out to all academic staff of the University.
- ▶ Students and junior researchers should be informed about regulations.
- ▶ All academic staff as well as students have to observe the rules of good academic practice.
- ▶ In case of doubt, heads of research groups, the representative for academic self-regulation, etc. offer advice.





## Regulations of the University of Freiburg – the essentials

### 6. Representative for Academic Self-Regulation

- ▶ He/she + 2 deputies are appointed by the senate, keeping some balance between natural sciences, engineering, humanities and social sciences.
- ▶ The representative advises informing and accused persons, investigates cases of alleged academic misconduct, informs the responsible governing bodies if necessary.
- ▶ The representative investigates accusations in accordance with plausibility criteria. If relevant, the representative informs the appropriate governing bodies.



## Regulations of the University of Freiburg – the essentials

### 7. Academic Misconduct

- ▶ is any conduct in an academic context that violates legal provisions or written or unwritten rules seen as indispensable in general, in a broad academic area, or in a specific discipline (e.g. false statements in an academic context, infringements on the intellectual property rights of others).  
↔ See catalogue in appendix of regulations and next slide.
- ▶ In particular, it includes:
  - ▶ active participation in the academic misconduct of others,
  - ▶ knowledge of a falsification of data or findings by others,
  - ▶ co-authorship in publications with false statements,
  - ▶ neglect of supervisory responsibilities.

## Typical cases of Academic Misconduct

(quoted from the appendix of regulations)

1. False statements
  - 1.1 the fabrication of data
  - 1.2 the falsification of data (e.g., selective reporting, rejection of unwanted results, manipulation of a representation or illustration)
  - 1.3 incorrect statements in applications (including false statements on publications)
2. Infringement of intellectual property
  - 2.1 wrt. copyrights, findings, hypotheses, theories, or research methods of others (plagiarism, theft of ideas, usurpation of authorship, falsification of the contents, unauthorized publishing)
  - 2.2 assertion of authorship of another person without his/her consent
3. Impairment of the research work of others (sabotage of research work)

## Regulations of the University of Freiburg – the essentials

### 8. Investigative Commission (IC)

- ▶ The IC is appointed by the senate:
  - ▶ 5 profs. from 5 areas (theology/philosophy/philology, law, behavioral sciences/economics, natural/environmental sciences, medicine),
  - ▶ 2 academic employees from different faculties,
  - ▶ 1 non-full-time or external member with qualifications for judicial office,
  - ▶ deputies for all members.
  - ▶ 1 member of the executive board of the faculty of the accused person.
- ▶ The IC advises the rector in cases concerning academic integrity, investigates allegations of academic misconduct.
- ▶ The members of the IC are bound to secrecy.
- ▶ If the responsible examination, doctoral, or habilitation committee initiates proceedings on the basis of sufficient evidence of academic misconduct, the IC temporarily suspends its investigation.

## Regulations of the University of Freiburg – the essentials

### 9. Investigation Procedure

- ▶ After being informed, the IC establishes its jurisdiction and investigates the concreteness and significance of the case according to plausibility criteria.
- ▶ The identity of the informant is only revealed by the IC with the former's explicit consent.
- ▶ If relevant, the accused is given the opportunity to make a statement, request a hearing (with or without a legal advisor).
- ▶ The IC submits progress reports (not recommendations) to the rector who decides whom to disclose. The responsible organs of the university investigate on their own authority what measures to take.



## Regulations of the University of Freiburg – the essentials

### 10. Report on Academic Misconduct Proceedings

- ▶ Faculties and research centers collect data on the academic misconduct proceedings they conduct.  
↪ yearly report to the IC
- ▶ The IC reports to the senate on conducting/conducted cases and on cases reported by faculties and research centers.

## Contacts at the University

<https://uni-freiburg.de/forschung/redlichkeit-in-der-wissenschaft/>

<https://uni-freiburg.de/research/academic-integrity/>

## Representative for Academic Self-Regulation

↪ advises informing and accused persons, investigates cases of alleged academic misconduct, informs the responsible governing bodies if necessary

- ▶ Prof. Uwe Blaurock (Faculty of Law)
- ▶ Deputies:
  - Prof. Ursula Nothelle-Wildfeuer (Faculty of Theology)
  - Prof. Christoph Borner (University Medical Center)

## IC on Academic Integrity

↪ advises the rector in cases concerning academic integrity, investigates allegations of academic misconduct

- ▶ Member + Deputy for “Natural and Environmental Sciences”:
  - Prof. Andreas Buchleitner (Institute of Physics)
  - Deputy: Prof. Sonja-Verena Albers (Institute for Biology II)
- ▶ Members with qualifications for judicial office:
  - Klaus Lernhart (Chief Judge at VGH Baden-Württemberg)
  - Andreas Neff (President of the District Court Freiburg, Deputy)

## Ombuds Process for Doctoral Candidates and Supervisors

<http://www.frs.uni-freiburg.de/en/ombudsstelle-en>

= first step beyond discussion in own group / with own supervisor

↔ resolve conflicts between doctoral candidates and their supervisors

### Ombuds process – a 2-level process

1. Discussion with ombuds assistants and ombudspersons
2. Ombudsperson moderates discussion between the parties

### Ombuds assistants

- ▶ Dr. David Willmes (FRS)
- ▶ Dr. Tina Lampe (FRS)

### Ombudspersons

- ▶ Prof. Juliane Besters-Dilger (Faculty of Philology)  
Deputy: Prof. Ernst Eberlein (Faculty of Mathematics and Physics)
- ▶ Prof. Hans Spada (Faculty of Economics and Behavioral Sciences)  
Deputy: Prof. Hans-Joachim Gehrke (Faculty of Humanities)