

German version legally binding

Technische Universität Dortmund Rules of Good Scientific Practice

Preamble

The Technische Universität Dortmund commits itself to comply with the principles of good scientific practice. Good scientific practice manifests itself in the fact that scientists continuously check their methods, results and scientific work to be correct.

Furthermore, these principles include that all scientists are to be honest with themselves as well as with the scientific and non-scientific public with regard to their scientific work.

In terms of these principles Technische Universität Dortmund established the following rules:

§ 1

At the Technische Universität Dortmund every scientist is committed to adhere to the principles of good scientific practice within the scope of their work. Among them are to work *lege artis*, to provide correct information, to respect intellectual property of others and not to interfere with the research work of others.

1) In connection to publications this especially includes the following:

- the comprehensible description of applied methods
- the complete documentation of all data gathered within the research processes and relevant for publication
- a verifiable presentation of research results
- the correct use of descriptions and illustrations
- the appreciation of the rights of others in terms of copyrighted works or essential scientific insight, hypothesis, theories or research approaches
- the omission of unauthorized utilization with the assumption of authorship (plagiarism), the exploitation of research methods and ideas of others (theft of ideas) especially as a reviewer; the obligation to offer coauthorship to those who made an essential scientific contribution to the work
- the forbearance of the pretension of the assumption of scientific author- or co-authorship
- the omission of falsification of contents or the unauthorized publication and unauthorized presentation to third parties, as long as the result, the hypothesis, the theory or the research approach has not been published
- the use of the (co-)authorship of others only with their permission and
- the inclusion of those data and arguments considered which do not support the own conclusions.

Authors of scientific publications are jointly responsible for the content. A so-called honorary authorship is inadmissible.

2) The principles also include the obligation not to interfere with the scientific work of others, for example, by sabotage (including damaging, destroying or manipulating literature, archive and source material, test assemblies, devices, documents, hardware, software, chemicals or other things which another person needs to realize his research project).

§ 2

The deans and heads of scientific workgroups are obliged to choose a form of organization which ensures that tasks like leadership, supervision, conflict resolution and quality management are clearly assigned, and guarantees that these tasks are effectively handled. The examination boards and the doctoral candidate admission boards verify that an appropriate quality management according to § 3 takes place.

§ 3

1) Within the scope of their work students, graduates and doctoral candidates are to be adequately mentored in scientific workgroups. For each of them a contact person has to be nominated in the workgroup. Doctoral theses which should lead to a PhD at the Technische Universität Dortmund are to be supervised by a professor of the Technische Universität Dortmund

A suitable mentoring includes regular discussions about the progress of the work. In the case of doctoral theses, such a discussion should take place at least every three months, in the case of diploma, bachelor and master theses once a month. Besides training and further education the mentoring should also include the communication of the principles of good scientific practice. Each indication of a plagiarism is to be pursued by the mentor.

2) Non-university members have to be involved in the quality management, if they assisted the supervision of the thesis.

§ 4

Originality and quality override quantity as far as performance and evaluation criteria for examinations, award of academic titles, promotions, appointments and assignments are concerned.

§ 5

Scientific examination papers, including all original documents such as protocols and enclosures as well as primary data as the basis of publications, are to be saved on durable and secured data carriers for at least ten years.

Examination papers in terms of clause 1 are also to be archived in electronic format.

§6

- 1) At the nomination by the senate, the rectorate appoints a commission for its advice in case of scientific violations, which hears to all parties involved, provides the necessary evidence and suggests suitable measures to be taken. The commission is supported in its work by the administration. The legal advisor takes part in the meetings and has an advisory vote.
- 2) All parties concerned in the procedure are committed to strict confidentiality. Valid interests of concerned parties regarding the protection of their anonymity are to be considered.
- 3) The advisory commission of the rectorate consists of eight members from the group of professors as well as three graduate members from the group of academic employees of the Technische Universität Dortmund. They are appointed by the rectorate for a period of four years. The commission elects one member of the group of professors as chair and determines his term of office. It decides with a bare majority vote. In case of a voting tie the vote of the chairman decides.
- 4) The members of the commission should appropriately represent the spectrum of research of the Technische Universität Dortmund.
- 5) Each member of the commission also act as ombudsman for certain faculties In this function, the members serve additionally as contact persons for those who want to hint at a violation of the principles of good scientific practice, as well as a mediator between the parties concerned with the conflict. The commission assigns the responsibility of the ombudsman for certain faculties and announces these responsibilities. If possible, the responsibility of an ombudsman for certain faculties is to be determined for the whole term of office.
- 6) Members of the Technische Universität Dortmund who have a substantiated suspicion of a case of scientific misconduct are obliged to inform the commission about the circumstances. Based on these circumstances, first the ombudsman and then the commission itself decides if it is a case of scientific misconduct in terms of these principles and if there is the chance of a mutual arbitration, respectively.
- 7) The commission is obliged to investigate the accusations promptly and comprehensively. It guarantees an impartial procedure with all concerned parties consulted and gives the chance of a statement and an oral explanation. It can use the expertise of a third party.
- 8) The commission can conclude the procedure with arbitration when all concerned parties agree. In this case there is no need to report to the rectorate.

9) When a decision had been made and mutual arbitrations are not possible, the commission reports back to the rectorate. The report in particular contains a critical evaluation of the facts and a proposal regarding the measures to be taken.

10) On the basis of this report the rectorate decides about the measures to be taken when a scientific violation has been established. When the matter has not yet been clarified thoroughly enough the rectorate, notifying its perception, can present the matter again to the commission for further discussion.

11) When the rectorate does not see any scientific misconduct in terms of the rules of good scientific practice all concerned parties are informed. A legal remedy against the decision not to initiate proceedings is not possible. But when scientific misconduct has been detected the rectorate decides about the measures to be taken. The person concerned is notified in writing about the fact that measures are intended to be taken.

The person concerned gets the chance to provide a written statement within four weeks. After the deadline has expired the rectorate deals with this matter again. A legal remedy against the decision of the rectorate to take measures is not possible.

§ 7

The deans as well as the heads of the central scientific institutes are obliged to make everybody working in research or teaching aware of the principles regularly. Annually this action has to be reported to the rector.

§ 8

The commission and the rectorate regularly (every two years) reports in summary about the kind and extent of the investigations of scientific misconduct at the Technische Universität Dortmund as well as about measures the rectorate has taken.

The principles come into effect after being published in the Amtlichen Mitteilungen (administrative notifications) of the Technische Universität Dortmund.

Issued due to a decision of the senate of the Technische Universität Dortmund from July 15th 2008.

Dortmund, the

The Rector
Technische Universität Dortmund

Professor
Dr. Ursula Gather