

Safeguarding Good Scientific Practice at DESY

Report on new Rules on Safeguarding Good Scientific Practice and Procedure for Dealing with Scientific Misconduct

Meeting of the Scientific Committee, DESY, Hamburg / via Video
Friday, December 11th, 2020

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Working Group: Safeguarding good scientific practice at DESY



Safeguarding Good Scientific Practice at DESY

Motivation

- **New DGF guidelines for Safeguarding Good Scientific Practice („The Code“)** published on **August 1st, 2019**.
 - required to implement the guidelines in the Code in a legally binding manner (DESY rules) to be eligible to receive DFG funding
 - two-year transition period will end on 31 July 2021 (-> **31 July 2022** due to corona)
 - DFG-webpage: <https://wissenschaftliche-integritaet.de> (in Englisch 2021)
- ⇒ **Update of the actual DESY rules for Safeguarding Good Scientific Practice (from 1998)**
- ⇒ **setting up a Commission for Investigations of Scientific Misconduct at DESY, called: Commission for Safeguarding Good Scientific Practice at DESY**

Updating the DESY Rules

Workinggroup

- **Start in May 2020**
- **Scientific Members** plus administrativ support:
 - Ombudspersons: Karl Jansen, Ilka Mahns, Anne Oppelt, Andreas Ringwald
 - Members of Scientific Committee: Tim Laarmann, Markus Diehl
 - Martin Köhler (L)
 - Sabine Celo (legal support /V5), Heidrun Bojahr (organizational support /Compliance)
- **ToDos:**
 - Updating the actual DESY Rules of Safeguarding Good Scientific Practice based on the new Code
 - Clarifying the Ombuds-Procedure at DESY, definition of the interaction with new commission
 - Developing the „Procedure for Dealing with Scientific Misconduct at DESY“
- **Timeline:** finalizing the rules and procedures til end 2020 / deadline: Juli 2021

Updating the DESY Rules

Approach

- Basis is the new DFG Code: 19 guidelines (2 levels of detail)
- Use actual DESY Rules of Safeguarding Good Scientific Practice (1998)
- **=> results:**
 - Same structure as DFG Code: **19 rules**
 - Adopting paragraphs and phrases of old DESY Rules after proof, but now they were explicitly stated in separate rules like in DFG-Code (rules 2-17),
 - Update **procedure for Investigations of Scientific Misconduct at DESY with a new Commission for Investigations of Scientific Misconduct at DESY => Commission for Safeguarding Good Scientific Practice at DESY**
- First draft in German, then before implementation translation in English planned

Updating the DESY Rules

New Procedure for Dealing with Scientific Misconduct at DESY

- Whistleblower informs Ombudsperson about a case of scientific misconduct
- Ombudsperson: clarification of the facts of each case
- Ombudsperson: attempt at conciliation
- If it fails and/or if suspicions are confirmed
- => Commission will be called by the Ombudspersons
- hand over the case, report to the commission
- Commission takes over the case
 - investigation of the suspicion of the scientific misconduct
 - experts can be ask for help
- Commission creates a report with recommendations for action for DESY-DIR
- DESY-DIR decides about sanctions

- Whistleblower and accused person shall be protected!

Updating the DESY Rules

ToDo for the Scientific Committee

- Rules were created
- 19 separate phrases

Deutscher Elektronen-Synchrotron DESY
Ein Forschungszentrum der Helmholtz-Gemeinschaft

DESY

Regeln zur Sicherung guter wissenschaftlicher Praxis und Verfahren zur Untersuchung von wissenschaftlichem Fehlverhalten bei DESY

Präambel

Die neuen Leitlinien zur Sicherung guter wissenschaftlicher Praxis¹ der Deutschen Forschungsgemeinschaft vom Juli 2019 (Kodex) und die von der HGF beschlossenen Regeln zur Sicherung guter wissenschaftlicher Praxis² vom dd.mm.yyyy sind in den hier vorgelegten neuen Regeln zur Sicherung guter wissenschaftlicher Praxis bei DESY umgesetzt worden. Auf dieser Grundlage sind die nachfolgenden Regeln aufgestellt worden. Diese setzen insbesondere die Ebenen 1 und 2 des Kodex um. Der Kodex richtet sich an die Wissenschaftlerinnen und Wissenschaftler sowie die Leitungen von Hochschulen und außerhochschulischen Forschungseinrichtungen. Er gilt in seiner jeweils aktuellen Form ergänzend zu den nachfolgenden Regeln und ist ebenso wie die HGF Regeln für alle DESY-Mitarbeiter und Mitarbeiterinnen, sowie alle Gäste, die die DESY-Anlagen nutzen, unmittelbar verbindlich. Die DESY-Regeln zur Sicherung guter wissenschaftlicher Praxis sind vom Wissenschaftlichen Ausschuss auf seiner Sitzung vom dd.mm.yyyy und vom Wissenschaftlichen Rat auf seiner Sitzung vom dd.mm.yyyy verabschiedet worden. Der Stiftungsrat hat diesen Regeln auf seiner Sitzung vom dd.mm.yyyy zugestimmt. Sie treten zum dd.mm.yyyy in Kraft und ersetzen die bisherigen DESY-Regeln zur Sicherung guter wissenschaftlicher Praxis.

Allgemeine Prinzipien³

Regel 1: Verpflichtung auf die allgemeinen Prinzipien

Kommentar [hb1]: Original Wortlaut aus dem DFG-Kodex

Kommentar [hb2]: aus alten DESY-Regeln zSGWR

=> Needs the approval of the Scientific Committee !

Commission Safeguarding Good Scientific Practice at DESY

Principles and Tasks

- steady commission
- Meeting once per year, plus in case of need
- Members appointed by DESY Directorate for 2 yrs

tasks:

- Investigations in case of suspicious conduct or allegation of **Scientific Misconduct at DESY**
- creates a report with recommendations for action for DESY-Directorate
- Guarding the new „Rules on Safeguarding Good Scientific Practice and Procedure for Dealing with Scientific Misconduct“

Commission Safeguarding Good Scientific Practice at DESY

Members

Suggestion:


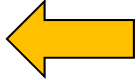

#	Name	Who is it?	Workflow
4	scientific member	1 member of each Scientific Division of DESY (FH, FS, M, AP)	suggestion by SC, confirmation via Division Head, appointed by DESY-DIR
1	SC-Member	member of Scientific Committee	suggestion by SC, appointed by DESY-DIR
1	external member	not on DESY-payrole	suggestion by DESY-DIR, appointed by DESY-DIR
1	legal member	with legal education + judge competence	suggestion by V, appointed by DESY-DIR

Timeline

planned

- Workinggroup : creation of draft of Rules and Commission Constitution 

Discussion of principles and Proof of Rules

- - Committee of the Deputy Heads 
- - Scientific Committee 
(proof of phrases and wordings: DESY-legal office )
- - DESY-Directorate

- Works Council

Final version:

- DESY-Directorate
- WR (May 2021)
- SR (June/July 2021)

Thank you.