

GIGA Code for Good Research Practice

The GIGA Code for Good Research Practice is based on the *Leibniz Code for Good Research Practice*, adopted by the General Assembly of the Leibniz Association on 18 November 2021.¹ The latter document is supplemented by the *Leibniz Guidelines for Good Scientific Practice*.² As a member of Leibniz Association, the German Institute for Global and Area Studies (GIGA) hereby also commits itself to the Guidelines for Safeguarding Good Research Practice, the code of conduct produced by the German Research Foundation (Deutsche Forschungsgemeinschaft, DFG) in 2019, as a binding basis for all issues relating to good scientific practice for employees and other GIGA members.³

The GIGA *Code for Good Research Practice* is also linked to important GIGA-internal documents: the GIGA *Code of Conduct*, the *Works Agreement on Respectful Cooperation and Dealing with Conflicts at the GIGA*, the GIGA *Guidelines on Research Ethics*, the GIGA *Open Access Guidelines*, and the GIGA *Research Data Policy*. The GIGA *Code for Good Research Practice* was adopted by the GIGA Executive Board on 23 June 2022. The GIGA *Code for Good Research Practice* lays out the general principles of good research practice that the GIGA as member of the Leibniz Association has pledged to follow. They are specified by the GIGA *Guidelines to Ensure Good Academic Practice* (as of 8 August 2012); these are currently being updated.

Preamble

The freedom of research guaranteed in the German constitution (Grundgesetz) is inextricably linked to a correspondingly high level of responsibility. Scientific integrity is an expression of researchers' awareness of this responsibility and forms the basis for trustworthy research.

¹ See *Leibniz Code for Good Research Practice* at https://www.leibniz-gemeinschaft.de/fileadmin/user_upload/Bilder_und_Downloads/%C3%9Cber_uns/Gute_wissenschaftliche_Praxis/Leibniz_Code_for_Good_Research_Practice.pdf. The English translation of the Leibniz Code for Good Research Practice is provided for information purposes only. In the event that the English and German versions permit different interpretations, the German text is binding.

² See *Leibniz Guideline for Good Scientific Practice* (in its latest version from 28 November 2019) at https://www.leibniz-gemeinschaft.de/fileadmin/user_upload/Bilder_und_Downloads/%C3%9Cber_uns/Integrit%C3%A4t/Guidelines_for_Good_Scientific_Practice_in_the_Leibniz_Association.pdf.

³ See the DFG's 2019 Code of Conduct *Guidelines for Safeguarding Good Research Practice* at <https://wissenschaftliche-integritaet.de/en/code-of-conduct/>.

Scientific integrity and good research practice are genuine examples of scholarly self-organisation and place an obligation on every researcher, and on all institutions where research is conducted. They are also an essential condition for both knowledge-oriented and public welfare-oriented science and research.

In line with this, the GIGA is committed to following the standards of good research practice. The GIGA takes active measures to ensure that these standards are applied throughout the research process and establishes appropriate procedures to prevent and react to non-compliance with good research practice.

As stated above, this *GIGA Code for Good Research Practice* is based on the *Leibniz Code for Good Research Practice*, adopted by the General Assembly of the Leibniz Association on 18 November 2021. Where textual changes are made to the original version of the *Leibniz Code for Good Research Practice*, they have been done to account for and address the specific features and procedures of the German Institute for Global and Area Studies (GIGA). These textual adaptations to this Code have been discussed and decided upon in a deliberative process coordinated by the Ombudsperson and the Deputy Ombudsperson. The process has involved different stakeholders at the GIGA, including the Executive Board and the Research Council, the Works Council, the Equal Opportunity Officers, the Academic Director of the Doctoral Programme, members of the Ethics Committee as well as representatives of the IT, the Information Centre, and the Research Data Managers.

1. Standards of good research practice

1.1 Commitment to the general principles

The GIGA is committed to the constitutionally ensured principle of freedom of research. Academic freedom ensures that the production of scientific knowledge occurs in an open process, which allows the development and testing of new ideas, their consolidation or refutation in academic discourse. It is only through open academic discourse that scientific progress can be achieved. This freedom is bounded, however, where it directly affects the fundamental rights of others, or where conduct violates the rules of good research practice which ensure the production of scientific knowledge. As a member of the Leibniz Association, the GIGA defines rules of good research practice and communicates them within the institute. It also commits to upholding them, with due regard for the specific characteristics of a social science research institute focusing on political, social and economic developments in Africa, Asia, Latin America, and the Middle East as well as cross-regional and global dynamics. Individual GIGA researchers are responsible for ensuring that their own conduct complies with the standards of good research practice.

A fundamental principle of good research practice is working *lege artis* (i.e. according to professional standards, the “state of the art”). This includes observing strict honesty in attributing one’s own contributions and those of others, rigorously questioning all findings, permitting and promoting critical discourse within the research community, and adhering to good practice in selection processes. The principles of *lege artis* also entail full and honest disclosure of any possible conflicts of interest.

1.2 Professional ethics

GIGA researchers are responsible for putting the fundamental values and norms of research into practice and advocating for them. At the GIGA, education in the principles of good research begins at the earliest possible stage of research training. For all new GIGA researchers, including doctoral researchers, an active exchange on Good Research Practice is part of the regular onboarding process. GIGA researchers at all career levels regularly update their knowledge about the standards of good research practice and the current state of the art in their respective disciplines and fields. They are supported in this by the GIGA leadership, the relevant GIGA service departments, and respective GIGA committees.

Within the GIGA, experienced and early career researchers support each other in a process of continuous mutual learning and ongoing training and maintain a regular dialogue on issues of good research practice. More specifically, the GIGA Ombudspersons participate regularly in the meetings and events organized by the Central Ombuds Committee of the Leibniz Association (or by individual Ombudspersons from other Leibniz institutions) – and inform their GIGA colleagues about new developments around Good Research Practice.

1.3 Organisational responsibility of GIGA leadership

The GIGA executive board is responsible for ensuring adherence to and the promotion of good research practice, and for appropriate career support for all GIGA researchers. Inter alia, the aspect of good research practice is taken into consideration in the annual staff appraisal talks. The Executive Board guarantees – where appropriate in consultation with the Research Council and the service department heads – the necessary conditions to enable GIGA members to comply with all legal and ethical standards. The basic framework includes clear, written policies and procedures for staff selection, career development and equal opportunity, that define good practices in selection processes based on the commitment to choose the best candidates according to merit and suitability, as laid out in GIGA’s personnel concept.

The GIGA’s executive board is responsible for ensuring that an appropriate organisational structure is in place at the institute overall. This ensures that the tasks of leadership, supervision, quality assurance and conflict management are clearly allocated and suitably communicated to members and employees.

The GIGA is committed to the promotion of diversity and equality of all genders. When it comes to staff selection and development, due consideration is given to these principles. The principles and relevant processes are transparent and avoid unconscious bias as much as possible and are specified in the GIGA's GEP Summary. Diversity and equal opportunities are a central part of the GIGA's self-perception as an independent, internationally oriented institution with a global approach to scholarship. The promotion of gender equality and the reconciliation of work and family life are guiding principles for how the Institute is managed and are applied in all areas of its work. With a clear commitment to diversity, we aim to promote and value diversity in relation to its many different dimensions – such as ethnic background, gender and gender identity, sexual orientation, age, disability, religion, worldview, and social background – and make full use of the resulting potential. An overall goal of GIGA is gender balance in leadership and decision-making bodies. The institute regularly sets target quotas according to the Leibniz Cascade Model and reviews its processes for selection and appointment of staff. In accordance with the institute's personnel concept, hiring processes are open, efficient, transparent, supportive, and internationally comparable. The GIGA's Equal Opportunity Commissioner and Deputy are included in personnel-related decisions and participate in all hiring processes. Selection committees are as a rule gender-balanced.

Honest career advice, training and advice opportunities are offered to researchers and research support staff. This includes the regular staff appraisal process, as specified in the *GIGA Guidelines for Staff Appraisals*.⁴ Suitable supervisory structures and policies are established for early career researchers. This also entails the individual supervision and tailored training of doctoral researchers who participate in the GIGA Doctoral Programme.

1.4 Responsibility of the heads of research units

The GIGA's research units are the four regional institutes and the research programmes. The respective heads of the research units are responsible for their unit. Collaboration within the unit is designed such that the necessary cooperation and coordination can be achieved, and all members understand their roles, rights and duties. The leadership role includes ensuring adequate individual supervision of early career researchers, integrated in the overall institutional policy, as well as career development for researchers and research support staff. Suitable organisational measures are in place at the level of the individual unit and of the leadership of the GIGA to prevent the abuse of power and exploitation of dependent relationships. These include the *GIGA Code of Conduct* and the *Works Agreement on*

⁴ See *Guidelines on Career Development in the Leibniz Association* at www.leibniz-gemeinschaft.de/en/about-us/whats-new/media-centre/publications/career-guidelines-of-the-leibniz-association.

Respectful Cooperation and Dealing with Conflicts at the GIGA, as well as regular leadership trainings relating to questions of good research practice.

The units are organised in a way to allow leadership tasks, particularly skills training, research support and supervisory duties, to be performed appropriately. The performance of leadership tasks is associated with a corresponding responsibility. GIGA researchers and research support staff benefit from a balance of guidance and personal responsibility appropriate to their career level.

1.5 Dimensions of performance and assessment criteria

With its Global Approach, the GIGA is committed to contributing to academic advances in Germany, Europe, and internationally and to addressing societal, political, and economic challenges, with a focus on Africa, Asia, Latin America, and the Middle East. The institute is guided by the Leibniz Association's motto "theoria cum praxi" and embraces a broad understanding of impact.⁵ The GIGA regards academic and societal impact as closely intertwined, and mutually reinforcing. Rigorous research of the highest academic standards builds the indispensable foundations for influencing both academic and societal debates and impacting on various dimensions of policy.

In order to assess the performance of GIGA researchers, a multidimensional approach is used. The GIGA applies a mix of qualitative and quantitative measures to assess performance. Its high-quality research is oriented towards criteria specific to individual disciplines. The qualitative measures are based on the standards of these disciplines. Quantitative indicators are incorporated into the overall assessment with appropriate differentiation and reflection.⁶

In addition to the generation of and critical reflection on research findings, further aspects of performance are taken into consideration in the assessment process. Most important here are the active responsibility for appropriate GIGA internal tasks and functions, outreach activities, such as knowledge exchange and media work, as well as teaching; contributions to the general welfare of society are also valued and recognised.

Where provided voluntarily, individual circumstances stated in curricula vitae – as well as the categories specified in the German General Act on Equal Treatment (*Allgemeines Gleichbehandlungsgesetz*) – are taken into account when forming a judgement. Appropriate allowance is made for periods of absence due to personal, family or health reasons or for

⁵ See also the Position Paper of the Wissenschaftsrat *Anwendungsorientierung in der Forschung* (WR 2020 at https://www.wissenschaftsrat.de/download/2020/8289-20.pdf?_blob=publicationFile&v=1)

⁶ See the *Leibniz Association Senate Evaluation Procedure Basic Principles* at www.leibniz-gemeinschaft.de/en/about-us/evaluation/the-evaluation-procedure.

prolonged training or qualification phases resulting from such periods, and for alternative career paths or similar circumstances. The GIGA supports flexible and individualized family-related leave in accordance with the legal and collective agreement provisions. Those who are on leave for family-related reasons face no career disadvantages. In principle, all positions, including leadership positions, can be filled with part-time employees. Details are provided in the *GIGA Personnel Concept and its Equal Opportunity Plan*. The Supervision Agreement provides the possibility for doctoral researchers and their supervisor(s) to agree on and include special measures, e.g. regarding the reconciliation of work and family life.

1.6 Ombudspersons

In accordance with the Leibniz Association's *Guidelines for Good Scientific Practice*, the GIGA regularly appoints an ombudsperson as well as a deputy ombudsperson, based on an institute-wide, democratic election process. The ombudsperson and the deputy ombudsperson are GIGA employees to whom, if relevant, third parties can turn to with questions relating to good research practice and in cases of suspected misconduct. The ombudsperson and the deputy ombudsperson fulfil their tasks and take their decisions independently from any institutional or personal considerations other than the principles outlined and procedures in this document and the Leibniz Association's *Guidelines for Good Scientific Practice*. The GIGA takes sufficient care to ensure that all members of the institute are aware of who the ombudspersons are, how they can be contacted and what their role is. Both the ombudsperson and the deputy ombudsperson can be contacted. In particular, the deputy ombudsperson should be contacted in case there is any concern about conflicts of interest with the ombudsperson or in case the ombudsperson is unable to carry out their duties. The GIGA Ombudsperson for Good Research Practice and their deputy are also the contact persons for the Leibniz Association-wide ombudspersons who form the Central Ombuds Committee.

Suitable candidates for the role of GIGA ombudspersons are researchers who have the personal integrity, power of judgment and experience required to fulfil their duties. However, ombudspersons may not serve as members of the GIGA Executive Board or the Research Council while serving in this role. The GIGA ombudsperson and their deputy have a set term of office of four years. One re-election is permissible. As neutral and qualified contact persons, the GIGA ombudspersons advise on issues relating to good research practice and in suspected cases of scientific misconduct and, where possible, contribute to solution-oriented conflict mediation. The GIGA ombudspersons maintain confidentiality in dealing with queries and, if necessary, refer suspected cases of misconduct to the responsible body named in the

GIGA Guidelines to Ensure Good Academic Practice.⁷ The GIGA's executive board gives the ombudspersons the support and acceptance they need to carry out their duties. The GIGA may initiate additional measures to help facilitate the work of the ombudspersons, for instance additional training. The relationship between the GIGA's ombuds structures and the central Leibniz Ombuds Committee is governed by the *Guidelines for Good Scientific Practice in the Leibniz Association*. In addition, all employees have the option of contacting the national German Research Ombudsman.

2. Research process

2.1 Cross-phase quality assurance

Researchers at the GIGA carry out each step of the research process *lege artis*. When research findings are made publicly available – either in the narrower sense of publication or in the broader sense through other communication channels – care is taken to make transparent the quality assurance mechanisms used in the research process as appropriate. This applies especially when new data are collected or new research methods employed.

GIGA's continuous quality assurance measures during the research process include, in particular, compliance with data protection regulations (Information leaflet for undertaking to maintain confidentiality, Directive for data collection, processing and use for employment relationship purposes), (sub-)disciplinary and methodological standards and established norms, for instance concerning the collection, processing and analysis of research data or the selection and use of research-related software (GIGA Research Data Policy). These quality assurance measures equally apply to doctoral researchers. Given the GIGA's often sensitive research data, gathered with research subjects and partners in Africa, Asia, Latin America, and the Middle East, a particularly strong focus is put on safeguarding the security of data as well as the ethical appropriateness of the entire research process. The GIGA's Ethics Committee consults on the ethical dimensions of research projects as specified in the GIGA Ethics Guidelines. Following a formalized process, the involved GIGA researcher(s) is/are asked to provide information on the ethical dimensions of the respective project. The GIGA Ethics Committee might then ask for clarification of outstanding issues and might raise new concerns, before it can provide full ethical clearance. Once the research project has begun, GIGA researchers might return to the Ethics Committee with any new, unforeseen issues that might have come up during the research process.

⁷ See also the specifications in Section 3 "Procedures in cases on non-compliance with good research practice".

GIGA researchers correct their data and findings if they become aware of inconsistencies or errors after they have been made publicly available. If the inconsistencies or errors constitute grounds for retracting a publication, GIGA researchers will promptly request that the publisher corrects or retracts the publication and makes a corresponding announcement. The same applies if GIGA researchers are made aware of such inconsistencies or errors by third parties.

The origin of the data and the software used in the research process is disclosed and the reuse of data is clearly indicated; original sources are cited. The nature and the scope of research data generated during the research process are described. Research data are handled in accordance with the requirements of the GIGA Research Data Policy and the Guidelines on the Handling of Research Data within the Leibniz Association.⁸ Depending on the particular subject area, it is an essential part of quality assurance that results or findings can be replicated or confirmed by other researchers (for example with the aid of a detailed description of data and methods). In addition, the management and handling of research data, particularly those of sensitive nature, is guided by appropriate data protection and security measures, as specified in the *GIGA's IT Security Guidelines and IT Security Regulations*.

2.2 Stakeholders, responsibilities and roles

The roles and responsibilities of the researchers and research support staff participating in a research project must be clear at each stage of the project. Researchers and research support staff define their roles and responsibilities in a suitable way, adapt them where necessary and engage in regular dialogue on these matters. Adaptations are implemented where needed, for example if the focus of a participating researcher's work changes.

2.3 Research design

When planning a project, GIGA researchers take into account the current state of research and consider it comprehensively and critically. To identify relevant and suitable research questions, they familiarise themselves with existing research that is publicly available. The GIGA ensures that researchers have access to relevant literature and data sources within reasonable financial and practical considerations. Methods to avoid (unconscious) distortions in the interpretation of findings, for example the use of blinding in experiments, are used where possible. GIGA researchers examine whether and to what extent gender and diversity dimensions may be of significance to the research project (with regards to methods, work

⁸ See *Guidelines on the Handling of Research Data within the Leibniz Association* (adopted by the General Assembly of the Leibniz Association on 29 November 2018) at: https://www.leibniz-gemeinschaft.de/fileadmin/user_upload/Bilder_und_Downloads/Forschung/Open_Science/Leitlinie_Forschungsdaten_2018_EN.pdf.

programme, objectives, etc.) in accordance with the GIGA's GEP summary. The context in which the research was conducted is taken into consideration when interpreting findings.

2.4 Legal and ethical frameworks, usage rights

GIGA researchers adopt a responsible approach to the constitutionally guaranteed freedom of research. They comply with rights and obligations, particularly those arising from legal requirements and contracts with third parties, and where necessary seek approvals and ethics statements and present these when required. GIGA researchers disclose any possible conflicts of interest. With regard to research projects, the potential consequences of the research should be evaluated in detail and the ethical aspects should be assessed. The legal framework of a research project includes, where applicable, documented agreements on usage rights relating to data and results generated by the project.

GIGA researchers must stay abreast of the risks associated with the misuse of research results. Their responsibility is not limited to compliance with legal requirements but also includes an obligation to use their knowledge, experience and skills such that risks can be recognised, assessed and evaluated. They pay particular attention to the aspects associated with security-relevant or potential "dual use" research findings. The GIGA is responsible for ensuring that its employees' and members' actions and behaviour complies with regulations and promote this through suitable organisational structures. They develop binding ethical guidance and policies and define procedures to assess ethical issues relating to research projects.⁹

Where possible and practicable, GIGA researchers conclude documented agreements on usage rights at the earliest possible point in a research project. Documented agreements are especially useful when multiple academic and/or non-academic institutions are involved in a research project or when it is likely that researchers will move to a different institution and continue using the data they generated for their own research purposes. In particular, the researchers who collected the data are entitled to continue using them. During a research project and after its completion, those entitled to use the data decide whether third parties should have access to them (subject to data protection regulations).

2.5 Methods and standards

To answer research questions, GIGA researchers use scientifically sound and appropriate methods. When developing and applying new methods, they attach particular importance to

⁹ See *Rules of Procedure of the Leibniz Commission for Research Ethics* at www.leibniz-gemeinschaft.de/en/about-us/leibniz-integrity/research-ethics.

quality assurance and the establishment of standards and take care to comply with ethical guidelines.

The application of a method normally requires specific expertise that is ensured, where necessary, by suitable cooperative arrangements. The establishment of standards for methods, the use of software, the collection of research data and the description of research results is essential for the comparability and transferability of research outcomes.

2.6 Documentation

GIGA researchers document all information relevant to the production of a research result as clearly as is required by and is appropriate for the relevant subject area. This will allow the result to be reviewed and assessed. In general, this also includes documenting individual results that do not support the research hypothesis. The selection of results must be avoided. Where subject-specific recommendations exist for review and assessment, GIGA researchers create documentation in accordance with these guidelines. If the documentation does not satisfy these requirements, the constraints and the reasons for them are clearly explained. Documentation and research results must not be manipulated and are to be protected as effectively as possible against manipulation.

Documentation should make available the information necessary to understand the research (including the research data used or generated, the methodological, evaluation and analytical steps taken, and, if relevant, the development of the hypothesis), to ensure that citations are clear, and, as far as possible and taking into account ethical and safety considerations, to enable third parties to access this information. Where research software is being developed, the source code is documented.

2.7 Providing public access to research results

As a rule, GIGA researchers in the Leibniz Association make their research results available as part of academic discourse, ideally through “open access.” In specific cases, however, there may be reasons not to make results publicly available, both in the narrower sense of publication and in the broader sense through other communication channels. At the GIGA, the decision not to make research findings publicly available might for instance be to prevent potential harm for research partners and collaborators, particularly in/from the Global South. Such decisions also must not depend on third parties. Researchers decide autonomously – with due regard for the conventions of the relevant subject area – whether, how and where to disseminate their results. If it has been decided to make results available in the public domain, GIGA researchers describe them clearly and in full. Where possible and reasonable, this includes making the research data, material and information on which the results are based

as well as the methods used available. They explain the work processes and provide full and correct information about their own preliminary work and that of others.

In the interest of transparency and to enable research to be referred to and reused by others, whenever possible GIGA researchers make the research data, metadata and/or principal materials on which a publication is based available in recognised archives and repositories in accordance with the FAIR principles (Findable, Accessible, Interoperable, Reusable) and the approach “as open as possible, as closed as necessary.”¹⁰ Restrictions may apply, for example, to ensure the safety and anonymity of research participants, or in form of a time-limited embargo period to allow researchers preferential access to original data.

In line with the principle of “quality over quantity,” GIGA researchers avoid splitting research into inappropriately small publications. They limit the repetition of content from publications of which they were (co-)authors to that which is necessary to enable the reader to understand the context. They cite results previously made publicly available unless, in exceptional cases, this is deemed unnecessary by the general conventions of the discipline.

2.8 Authorship

An author is an individual who has demonstrably made a material and independent contribution to the content of a research publication of text, data or software. All authors agree on the final version of the work to be published. They share responsibility for the publication. Any divergence from this principle must be explicitly mentioned in the publication. GIGA authors seek to ensure that, as far as possible, their contributions are identified by other scholars, publishers, funders or the interested public such that they can be correctly cited. The contribution justifying authorship must add to the research content of the publication. What constitutes a material, independent and demonstrable contribution must be evaluated on a case-by-case basis and depends on the subject area in question. In general, it is deemed to exist in instances in which a researcher – in a research-relevant way – takes part in

¹⁰ See *European Commission’s H2020 Programme Guidelines on FAIR Data Management in Horizon 2020* at: https://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/hi/oa_pilot/h2020-hi-oa-data-mgt_en.pdf.

- the development and conceptual design of the research project, or
- the gathering, collection, acquisition or provision of data, software or sources, or
- the analysis, evaluation or interpretation of data, sources and conclusions drawn from them, or
- the drafting of the manuscript.

If a contribution is not sufficient to justify authorship, the individual's support may be properly acknowledged in footnotes, a foreword or an acknowledgement. Honorary authorship where no such contribution was made is not permissible. At the GIGA, a leadership or supervisory function does not itself constitute co-authorship, nor does the provision of funding.

Collaborating researchers at the GIGA agree on authorship of a publication. The decision as to the order in which authors are named is made in good time, normally no later than when the manuscript is drafted, and in accordance with clear criteria that reflect the practices within the relevant subject area. Researchers may not refuse to give their consent to publication of the results without sufficient grounds. Refusal of consent must be justified with verifiable criticism of data, methods or results.

2.9 Publication medium

GIGA authors select the publication medium carefully, with due regard for its quality and visibility in the relevant academic (sub-)field. GIGA researchers who assume the role of editor carefully select where they will carry out this activity. The scientific quality of a contribution does not depend on the medium in which it is published.

In addition to publication in books and journals, authors may also consider academic repositories, data and software repositories, and blogs. New or unknown publication mediums are evaluated within the GIGA to assess their seriousness. The GIGA Information Centre maintains an overview of relevant journals that shows whether quality assessment procedures are applied. New or unknown publication mediums are evaluated to identify potential “predatory publishing” outlets. In cooperation with the GIGA Research Data Service, the GIGA Information Centre reviews data repositories according to the above-mentioned criteria. An additional criterion to selecting a publication medium – next to quality and visibility – is whether it has established guidelines on good research practice.

2.10 Confidentiality and neutrality of review processes and discussions

Fair behaviour is the basis for the legitimacy of any judgement-forming process. GIGA researchers who evaluate submitted manuscripts, funding proposals or personal qualifications, or serve in academic advisory functions are obliged to maintain strict confidentiality with regard to this process. They disclose all facts that could give rise even to

the appearance of a conflict of interest. The duty of confidentiality and disclosure of facts that could give rise even to the appearance of a conflict of interest also applies, when it comes to members of research advisory, decision-making and other bodies.

The confidentiality of material to which a reviewer or committee member gains access in fulfilment of the task precludes sharing the material with third parties or making personal use of it. GIGA researchers immediately disclose to the responsible body any potential or apparent conflicts of interest, bias or favouritism relating to the research project being reviewed or the person or matter being discussed.

2.11 Archiving

GIGA researchers follow the GIGA's procedures for the handling of research data. This includes backing up of research data and results as well as the central material on which they are based and the research software used, by adequate means according to the standards of the relevant subject area and retain them for an appropriate period of time. Where justifiable reasons exist for not archiving particular data, researchers explain these reasons. The GIGA ensures that the necessary infrastructure is in place.

When scholarly findings are made publicly available, the research data (raw data) on which they are based are generally archived in an accessible and transparent manner for a period of ten years at the institution where the data were produced or in cross-location repositories. This practice may differ depending on the subject area. In justified cases, shorter archiving periods may be appropriate. The reasons for this must be clearly stated. The archiving period begins on the date when the results are made publicly available.

3. Procedures in cases of non-compliance with good research practice

3.1 Complainants and respondents

The procedures for dealing with allegations of scientific misconduct are governed by the Leibniz Association's *Guidelines for Good Scientific Practice* and the GIGA's relevant guidelines, especially the *Works Agreement on Respectful Cooperation and Dealing with Conflicts at the GIGA* and the *GIGA Guidelines to Ensure Good Academic Practice*. The latter are currently being updated; as long as they have not been adopted, the existing *Guidelines* (i.e., the 2012 document) remain applicable. The GIGA ombudspersons examining allegations of misconduct take appropriate measures to protect both the complainant and the respondent at all stages of the process. The investigation of allegations of research misconduct must be carried out in strict confidentiality and adhere to the presumption of innocence. The information disclosed by the complainant must be provided in good faith. Knowingly false or malicious

allegations as well as attempts to damage the institute's reputation may themselves constitute misconduct. The disclosure should not disadvantage the research or professional career prospects of either the complainant or the respondent. The GIGA will do everything in its power to avert negative consequences for the parties involved.

Particularly in the case of early-career researchers, all parties must ensure that disclosures will not lead to undue delays in the complainant's own qualification phase or disadvantages concerning the writing of final dissertations or doctoral theses. The same applies to working conditions and possible contract extensions for complainants at all career stages.

The investigating body will respect the presumption of innocence vis-à-vis the respondent at each stage of the process when considering each case. The respondent should not experience any disadvantage resulting from the investigation of the allegation until such time as research misconduct has been formally established. The complainant must have "grounded reasons" for suspecting that an infringement of the standards of good research practice may have occurred.

If the complainant is unable to verify the facts personally, or if there is uncertainty regarding the interpretation of the applicable rules on good research practice in relation to an observed set of circumstances, the complainant should consult the GIGA ombudsperson or their deputy and, where relevant, the central Ombuds Committee of the Leibniz Association to clarify the suspicion. The fundamental responsibility of the German Research Ombudsman is unaffected by this regulation.

Disclosures made anonymously can only be investigated if the complainant provides the party investigating the allegation with solid and sufficiently concrete facts. If the complainant's identity is known, the investigating body will keep the individual's name confidential and will not share it with third parties without the individual's consent. Different requirements apply only if there is a legal obligation or if the respondent cannot otherwise properly defend himself or herself because, as an exception, the case concerns the identity of the complainant. The investigating body will promptly inform the complainant if his or her name is to be disclosed; the complainant can decide whether to withdraw the allegation due to the impending disclosure.

The confidentiality of a process is limited if the complainant makes his or her suspicion public. The investigating body will decide on a case-by-case basis how to handle the breach of confidentiality on the part of the complainant. Should research misconduct not be proven, the complainant must continue to be protected, assuming that the allegations cannot be shown to have been made against his or her better knowledge.

3.2 Procedures in cases of alleged research misconduct

Not every breach of good research practice constitutes misconduct. The nature and seriousness of potential breaches are spelled out in detail in the Leibniz Association's *Guidelines for Safeguarding Good Scientific Practice* and the *Works Agreement on Respectful Cooperation and Dealing with Conflicts at the GIGA* and the *GIGA Guidelines to Ensure Good Academic Practice*. These regulations define the circumstances that constitute misconduct, procedural rules and the measures to be taken should an allegation be upheld. The regulations are always applied in addition to relevant higher-level laws. These regulations clarify, in particular, questions regarding responsibility for each step of a procedure, the consideration of evidence, substitutes for ombudspersons and members of investigation committees, conflicts of interest and, where relevant, the procedural principles of the rule of law. They are to be arranged in such a way that both the respondent and the complainant are given the opportunity to be heard at each stage of the process, and that, until such time as it is demonstrated that misconduct has occurred, information relating to the individuals involved in the process and the interim findings of the investigation are treated as confidential. The GIGA ensures that the entire process is conducted as promptly as possible and implements the steps necessary to complete each stage of the procedure within an appropriate time frame. The above-named regulations by the GIGA and the Leibniz Association stipulate various measures to be applied according to the seriousness of the scientific misconduct ascertained. If, after it has been established that misconduct has occurred, the revocation of an academic degree is being considered with the GIGA having to inform the degree-awarding institution, the responsible bodies are included in deliberations. Once inquiries are complete, the result is announced to affected research organisations and, if relevant, third parties with a justified interest in the decision. All the principles set out in 3.1 and 3.2 must be taken fully into account when applying and updating the rules of procedure spelled out in the *GIGA Guidelines to Ensure Good Academic Practice*.