

Code of academic integrity (Academic integrity)¹

of 24 February 2015

The Senate Committee hereby issues
the following code, based on Art. 93 (1) lit. d of the University Statutes of 25 October 2010²:

Preamble

At the University of St.Gallen, research is founded on principles of intellectual honesty. Researchers at the University of St.Gallen are committed to integrity in research, transparency and truthfulness in their scientific work. The University undertakes to respect this code in its field and to take appropriate measures in the case of misconduct.

I. General provisions

Art. 1 Purpose

¹ The purpose of this code is to define the guiding principles of academic integrity at the University of St.Gallen and to specify the process of dealing with violations of these principles.

Art. 2 Scope

¹ This code applies to all persons involved in scientific research at the University of St.Gallen. If students violate the rules of good academic practice when authoring written work as part of their courses, the University of St.Gallen reserves the right to take disciplinary action³.

II. Integrity in research

1. Planning and implementation of research projects

Art. 3 Data

¹ All persons working on a research project are responsible for the accuracy of the data and facts they collect, as well as compliance with the applicable provisions.

² When conducting empirical research, the data shall be stored and the data sets and programs used made available to the extent permissible by law, so as to replicate the results.

Art. 4 Conflicts of interest

¹ All project participants are required to disclose any potential conflict of interest to the client or the interested public.

2. Publication of research results

Art. 5 Principles of publication and access

¹ Research results should be made public, except in cases where confidentiality obligations or contractual obligations prohibit their publication.

² Researchers of the University of St.Gallen should, as much as possible, publish their work in accordance with the "principle of open access", in compliance with the open access policy of the University of St.Gallen⁴.

¹ This code has been prepared based on the following documents:

a) Principles and procedures concerning integrity in scientific research of 28 February 2008;

b) Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich of 14 November 2007;

c) Authorship in scientific publications, analysis and recommendations of the Swiss Academies of Arts and Sciences, presented in Bern on 30 May 2013;

d) Code of Academic Integrity and Good Practice in the Conduct of Research of the University of Basel of 18 October 2011;

e) Code of Ethics of the Association for Social Policy of 21 July 2012

² sGS 217.15.

³ Art. 34 ff of the University of St.Gallen Act, sGS 217.11.

⁴ Passed by the Senate of the University of St. Gallen on 15 December 2008 based on the policy decision of the Senate of 12 November 2007.

Art. 6 Authorship

¹ Academic publications shall credit all authors who have made a significant contribution to the work.

² All persons who have contributed in a significant way through their own academic work to the planning, execution or evaluation of the academic publication have a claim to authorship⁵.

³ A managerial position or financial or organisational support for a project or academic work does not in itself justify authorship.

⁴ Authorship also means that those named as authors assume responsibility for the content of the work. Unless otherwise provided for, joint authorship obliges all contributing authors to assume joint responsibility for the content of the work.

Art. 7 Principle

¹ The state of research and the standards prevailing in the respective field of expertise shall be acknowledged in an adequate manner.

Art. 8 Potential conflicts of interest

¹ Academic publications must disclose any third-party funding, use of third-party infrastructure and other material support that could lead to potential conflicts of interest.

III. Integrity of scientific assessments

Art. 9 Principles of scientific assessments

¹ Scientific opinions shall be provided in a manner that is unbiased and open-minded. The analytical results may not be affected by the interests of the client.

² The anonymity of the person making the assessment ensures objectivity, impartiality and confidentiality. The person making the assessment

a) shall treat all information in question as confidential as long as it has not been published by the authors;

b) shall not consult other experts on the subject of the assessment - where the necessary confidentiality of the assessment would be put at risk - without the consent of the competent body who has requested the assessment;

c) may not use the confidential information disclosed to him in the course of his assessment.

Art. 10 Disclosure of interests and conflicts of interest

¹ Reviewers of academic papers, grant applications and members of university bodies shall declare any potential conflicts of interest, and be aware of personal bias. If necessary, the appointment or cooperation shall be declined or the member shall abstain from the process on his own initiative.

² If researchers are asked to provide an opinion on research that directly competes with their own work, this must be reported to the client. If necessary, the researcher concerned shall refrain from participation.

IV. Procedure in cases of suspected academic misconduct

Art. 11 Academic misconduct

¹ If during the process of scientific work, false information is submitted intentionally, or if intellectual property rights are violated either intentionally or due to gross negligence, or the research activity of others is sabotaged by other means, then this behaviour will be viewed as academic misconduct.

² Authors can be considered to be jointly responsible for academic misconduct as a result of active involvement in the misconduct of others, the knowledge of falsification committed by another person, co-authorship of publications with falsifications, gross neglect of supervisory responsibilities.

³ The circumstances covered by this code shall be judged in accordance with the generally accepted standards and within the historical and social context.

⁵ The order of authorship is determined based on the standards of each discipline.

Art. 12 Proceedings

¹ When members of the university become aware of misconduct, or they have a reasonable suspicion of academic wrongdoing by university members as laid down in Article 2 of this code, the university will initiate proceedings to investigate the facts of the case. The proceedings shall be carried out in a manner appropriate for the individual case and be completed as quickly as possible.

² The proceedings are confidential subject to Article 18 of this code.

³ The University of St.Gallen shall protect the informant against reprisals or discrimination, especially if the informant is in a special relationship of dependence towards the accused. Reprisals are punishable as offences within the meaning of this code.

Art. 13 Point of contact

¹ The point of contact for suspected wrongdoing is the president of the Research Committee, or the vice president responsible for research⁶.

² In the case of a violation of arbitration rules⁷, the president of the research committee or the vice president of research shall pass the matter to the Ombudsman's office of the University of St.Gallen.

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³ The president of the research committee and vice president of research can invite other members of the Senate to form a case-specific trust group.

⁴ The trust group has an advisory, supporting and mediating role. It will conduct a preliminary investigation of the allegations.

⁵ If the trust group holds the suspicion to be unfounded, it will inform the parties accordingly. It can then propose any necessary steps to the relevant bodies to prevent academic misconduct.

Art. 14 Initiation of proceedings

¹ If the trust group holds the suspicion to be well founded, it shall propose to the president to initiate proceedings.

² The president shall decide whether to initiate proceedings and set up an investigative commission.

³ The president appoints the members and the chair of the investigative commission on the proposal from the trust group. He is also entitled to commission the trust group with the investigation.

Art. 15 Investigative commission

¹ The investigation is conducted solely by the investigative commission.

² The role of the investigative commission is to investigate the matter. It shall give the accused an opportunity to view the files, comment on the allegations and ask for additional investigative measures while maintaining the anonymity of the informant as far as possible. It must give the informant a proper hearing.

³ The investigative commission shall report to the president in writing whether a misconduct has taken place in accordance with the provisions of the code. The accused has the right to see the report before it is forwarded to the president and enclose a written commentary for the attention of the president.

Art. 16 Decision

¹ The president shall make a decision on the basis of the report and the proposals of the investigative commission, the statement of the person accused and any opinion about the next steps. He is entitled to hear the parties again before making a decision.

² If the president holds the academic misconduct for unproven, this is communicated to the person accused as well as the informant. Upon request, a notification shall be issued in the matter.

³ If the president holds the academic misconduct for proven, he shall take adequate measures in accordance with the university's legislation⁸ or makes a relevant application to the University Council.

Art. 17 General procedural rules

¹ The general procedural rules apply.

² The individual procedural steps shall be documented in a protocol.

³ The suspected person shall be notified of the personal composition of the responsible entity at the beginning of each stage of the process. This is to give the accused the opportunity to file an application regarding potential bias.

⁶ Art. 29 University Statutes, sGS 217.15.

⁷ Regulations on the arbitration process at the University of St.Gallen.

⁸ University of St.Gallen Act (sGS 217.11), University Statutes (sGS 217.15) and regulations of the University of St.Gallen based thereupon.

Art. 18 Next steps

¹ Based on the assessment, the president shall decide on a case-by-case basis whether to inform other entities or disclose the matter to the public.

² A final report must be published if the initiation of the investigation has already been made public or at the request of the accused person.

³ If the information is released to the public, the personality rights of those affected must be respected. The provisions of the Data Protection Act of the Canton of St.Gallen apply⁹.

V. Final provisions**Art. 19 Effective date**

¹ This code will come into effect on 1 March 2015 and apply from the same date.

² This shall be announced by the university internally.

⁹ sGS 142.1.