

## Information for doctoral researchers of the Faculty of Mathematics and Natural Sciences and of the Medical Faculty of Heinrich Heine University Düsseldorf

According to their respective doctoral regulations, doctoral researchers of the Faculty of Mathematics and Natural Sciences (FMNS) and of the Medical Faculty (MedF) of Heinrich Heine University (HHU) Düsseldorf are obliged to complete a course in *Good Scientific Practice* (GSP, i.e. research integrity) at their according faculty. GSP courses, offered by JuDocs at Forschungszentrum Jülich, can be recognised for this purpose, as long as they correspond in scope and content to the GSP courses of HHU **and** if all important HHU-specific regulations are taken into account.

For possible recognition, please read those regulations and linked documents, listed below, that concern you and your doctoral project. You confirm that you have read and understood these, by signing this form. Please submit this confirmation together with the confirmation of course participation to the doctorate office of your according faculty.

### 1. General Information for all doctoral researchers of HHU:

#### **1.1 Binding regulations that affect all doctoral researchers of HHU:**

##### ***1.1.1 Central GSP-Regulation of HHU***

To safeguard good scientific practice (GSP), Heinrich Heine University (HHU) Düsseldorf has issued the following regulation, which applies to all members of the HHU, thus also to doctoral researchers of HHU without exception. You will find these via the following link:

- [Rules on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf, dated 29 March 2022](#) (convenience translation, German original version available [here](#))

##### ***1.1.2 GSP Ombudspersons of the Faculties and Central Investigation Commission***

In case of GSP-relevant questions and/or in case of suspicion of possible scientific misconduct members of HHU may confidentially contact the GSP ombudsperson of their respective faculty. The central investigation commission of the HHU is responsible for investigating allegations of possible scientific misconduct against scientists currently or formerly working at the HHU. The current ombudspersons of all five faculties of HHU as well as the members of the central investigation commission are available via the following link:

- [GSP ombudspersons and central investigation commission](#)

#### **1.2 Further Regulations that are binding for Doctoral Researchers who are also Scientific Employees of HHU:**

For doctoral researchers who are also scientific employees of HHU, the following GSP-relevant regulations also apply, available via the following links:

- [Research Data Rules of HHU, dated August 18 2022](#) (convenience translation, German original version available [here](#))
- [Directive for the Protection and the Exploitation of Intellectual Property at HHU](#) (Only German version available via HHU's intranet, please log in via [VPN access to the campus network of HHU](#), if necessary).

## 2. Specific instructions for doctoral researchers of the Faculty of Mathematics and Natural Sciences (FMNS) of HHU

### **2.1 Important Information on Doctoral Research at FMNS of HHU:**

Doctoral research projects at FMNS must follow the valid doctoral regulations of the faculty ([available on the websites of the faculty's doctorate office](#)). Please pay particular attention to application deadlines and requirements for doctoral projects and the doctorate specified in the regulations, including mandatory requirements for the supervision of doctoral research projects, e.g. mentoring the doctorate by a mentor, preparation of a supervision agreement and of annual progress reports.

The faculty provides you with forms (see links below) for the preparation of mandatory supervision agreement and progress reports. These forms meet all requirements of the doctoral regulations. For members of iGRAD (cf. 2.3), modified versions are available, taking into account the iGRAD basic curriculum:

- [Supervision agreement for doctoral students](#) (without iGRAD membership)
- [Progress reports for doctoral candidates](#) (without iGRAD membership)
- [Supervision agreement for doctoral iGRAD members](#)
- [Progress reports for doctoral iGRAD members](#)

For all questions concerning doctoral matters and the doctorate procedure, please contact the [doctoral office of FMNS](#).

In the event of possible conflicts, the [iGRAD-Office](#) and the [Vice-Dean of FMNS](#) are available to doctoral researchers and their supervisors as a confidential contact point.

### **2.2 Binding Regulations for all Doctoral Theses at FMNS:**

Doctoral researchers at FMNS are also obliged to observe the rules on the prevention of plagiarism when writing their dissertation. These are available via the following link:

- [Binding regulations on the prevention of plagiarism for doctoral theses at FMNS](#)

### **2.3 Supplementary information on services offered by iGRAD:**

All doctoral researchers at FMNS can become members of iGRAD and complete a [supplementary curriculum in key professional qualifications](#) during the course of their doctoral research. After successful completion of the doctorate and of iGRAD's basic curriculum, members can receive a [doctorate transcript](#) listing courses completed and other qualification-relevant achievements from the doctoral period. In addition, iGRAD members can use offers in [career counselling and other services](#) of iGRAD.

If the main supervisor of the doctoral project is occupied at FMNS, MedF or the IUF (i.e. employed by HHU), participation in courses in the iGRAD basic curriculum is free of charge.

Additional information is available on the [iGRAD website](#). The [iGRAD-Office](#) will be happy to answer your questions regarding membership, services offered by iGRAD, and possible crediting of courses from FZ Jülich in the iGRAD basic curriculum.

## 3. Specific instructions for doctoral researchers of the Medical Faculty (MedF) of HHU

### 3.1 Important Information on Doctoral Research at MedF of HHU

#### 3.1.1 Declaration of Commitment to Patient Data Protection

If (doctoral) researcher inspect patient records or work with personal data in the course of their (non-)medical work, the responsible project leaders must have a commitment to patient's data protection signed by these (doctoral) researchers. Via the following link you will find a pre-formulated commitment on confidentiality including the relevant legal texts:

- [Form for a commitment on confidentiality for doctoral researchers of MedF](#) (German version only)

#### 3.1.2 Additional Regulations for Doctoral Researchers at MedF of HHU

Doctoral research projects at FMNS must follow the valid doctoral regulations for medical doctoral degrees or the [PhD degree of MedF](#). Doctoral projects must always be registered with the [Medical Research School Düsseldorf](#) in the [Graduate Centre of Medicine](#). Please note the registration deadlines and requirements specified in the respective regulations, as well as the obligatory requirements for the supervision of doctoral studies, e.g. the supervision of the doctoral studies by a co-supervisor, the preparation of a project outline, the submission of any necessary votes of ethics commissions or animal experiment approval and the timely submission of progress reports.

The faculty provides doctoral students of medicine and the PhD program with all relevant documents and regulations in the [download centre of the Graduate Centre](#).

For all questions concerning the registration of the doctoral project, the respective training programme and the doctorate procedure, you can contact the [Central Doctoral Office in the Graduate Centre of Medicine](#).

In case of possible conflicts, the Graduate Centre of Medicine and the ombudsperson of the Faculty of Medicine are also available as confidential contact points for doctoral students and their supervisors.

## 4. HHU-specific information on research data management, research on humans, research on animals and data protection relevant aspects

### **4.1 Research Data Management at HHU:**

ZIM, ULB and the Research & Transfer Department offer numerous information, training, and consulting services for researchers in the faculties and institutions of HHU on the topics of research data management and archiving. Further information available via the following link:

- [Research data management at HHU](#)

### **4.2 Research on Humans:**

In case of research projects on humans (i.e. on and with humans (including deceased persons), research with human body material, and research during which privacy relevant data of humans is collected or evaluated), it must first be checked whether a positive vote of an ethics committee exists, or whether it is required by existing laws and regulations (for research projects at the Medical Faculty this generally is the case). If no required positive vote exists, it must be obtained prior to the start of any research activity.

All members of HHU can contact the **Ethics Committee of the Medical Faculty of HHU** for the ethical and legal evaluation of such research projects and for advice on these issues. Further information is available on the web pages of the ethics committee under the following link:

- [Ethics Commission of the Faculty of Medicine](#)

**Doctoral researchers of the Medical Faculty of HHU** please also confer the information sheet "Doctoral Research and Ethics Vote" of the Medical Faculty via the following link:

- [Information sheet "Doctoral Research and Ethics Vote" for doctoral researchers of the Medical Faculty](#) (German version only)

**Members of the Faculty of Mathematics and Natural Sciences** can also seek advice on "non-invasive" research projects on humans for which no mandatory ethics vote is required (e.g. certain research projects in psychology). For this purpose, applications can be submitted to the responsible ethics committee of the Faculty of Mathematics and Natural Sciences. Information is available via the following link:

- [Ethics Committee of the Faculty of Mathematics and Natural Sciences for "non-invasive" research on humans](#) (German version only)

### **4.3 Research on Animals:**

In case of research projects involving animals, it must be checked prior to the start of any research activities, whether the prerequisites are fulfilled and whether corresponding notification or authorisation requirements and qualification obligations have been fulfilled.

Institutions of HHU (including those on the campus of FZ Jülich) can seek advice from the animal protection officers of HHU Düsseldorf. Further information is available via the following link:

- [Central Institution for Animal Research and Scientific Animal Welfare \(ZETT\)](#)

### **4.4 Data Protection:**

The data protection officer of HHU is available to all employees and students for questions regarding data protection. For further information, please follow the link:

- [Central Data Protection Office of HHU](#)

**4.5 Security-relevant research, export control as well as ethical and societal consequences:**

Researchers may also have to observe security relevant legal regulations in their projects and are required to consider the ethical consequences and societal impact of their research. The directive for handling security-relevant research defines principles and procedural rules at HHU.

Researchers can seek advice from the relevant commission:

- [HHU-directive for handling security-relevant research \(including checklist\)](#)
- [Commission on handling security related research at HHU](#)

**5. Confirmation**

I hereby confirm that I have read and understood the above information including the linked documents, concerning my research project and me.

**5.1 Doctoral Researcher**

Name, First name(s):

Location: ....., Date: .....

Signature: .....