



**中华人民共和国科学技术部**

Ministry of Science and Technology of the People's Republic of China

# INTRODUCTION TO CHINA'S RESEARCH INTEGRITY POLICY

Yu Shi

Division of Scientific Integrity,


Department of Supervision and Scientific Integrity

Ministry of Science and Technology (MOST), P.R. China

6<sup>th</sup> WCRI, Hong Kong, June 2, 2019



# RULES ON RESEARCH INTEGRITY

- ▶ LAW on S&T Progress, Degree Regulations...
  - ▶ Codes of Research Conducts, Moral and Ethics...
  - ▶ Misconduct Policies
  - ▶ Other Policies (Project Evaluation, Journals...)
  - ▶ Organizational Charters, Disciplinary Agreements...
  - ▶ Opinions on Strengthening the Promotion of RI (2009)
  - ▶ Opinions on Further Strengthening the Promotion of Research Integrity (2018)
- 

## The Opinions: 8 sections, 28 clauses

Overall requirements	• Guiding ideas, basic principles, main objectives	1~3
Operational Mechanism	• Improve research integrity management system and responsibility system	4~7
Strengthen Management	• Strengthen integrity management in the entire process of research activities	8~12
Institutionalization	• Further promote institutionalization of research integrity	13~15
Dissemination and Education	• Effectively strengthen education and dissemination of research integrity	16~18
Investigation and Punishment	• Strictly investigate and punish serious breach behaviors	19~21
Informationlizaion	• Accelerate informationlization of research integrity	22~24
Safeguard Measures	• Arrange safeguard work for further promotion of research integrity	25~28

# Main Tasks

Improving the RI management system and responsibility system



Promoting the institutionalization of research integrity



Enhancing the investigation and punishment of the breaches of RI



Embedding RI in the whole process of research activities



Strengthening the education and dissemination of RI



Applying RI information recording & sharing system



# Characteristics

- Wide Reach (Target and Process)
- Clarification of Responsibilities
- Aspirational
- Normative



# WIDE REACH-Process



## Research Project Cycle

**Scientific Integrity  
Commitment**



- ✓ Scientific and technological plan projects
- ✓ Innovation Bases Setup
- ✓ Academician Elections
- ✓ S&T Awards
- ✓ Talent Title Awards
- ✓ .....



# Clarification of Responsibilities

## Chinese Academy of Social Sciences

Overall coordination and macro-level guidance on research integrity work in the fields of philosophy and social sciences

## Ministry of Science and Technology

Overall coordination and macro-level guidance on research integrity work in the fields of natural sciences

## Administrative Agencies of Science and Technology Projects

Strengthen research integrity management of science and technology plans, establish and improve a scientific and technological plan supervision mechanism based on honesty, and integrate research integrity requirements into the entire process of scientific and technological plan management

## Local Governments and Relevant Industry Authorities

Strengthen the promotion of scientific research integrity in their jurisdictions, enrich the workforce, and strengthen work logistics

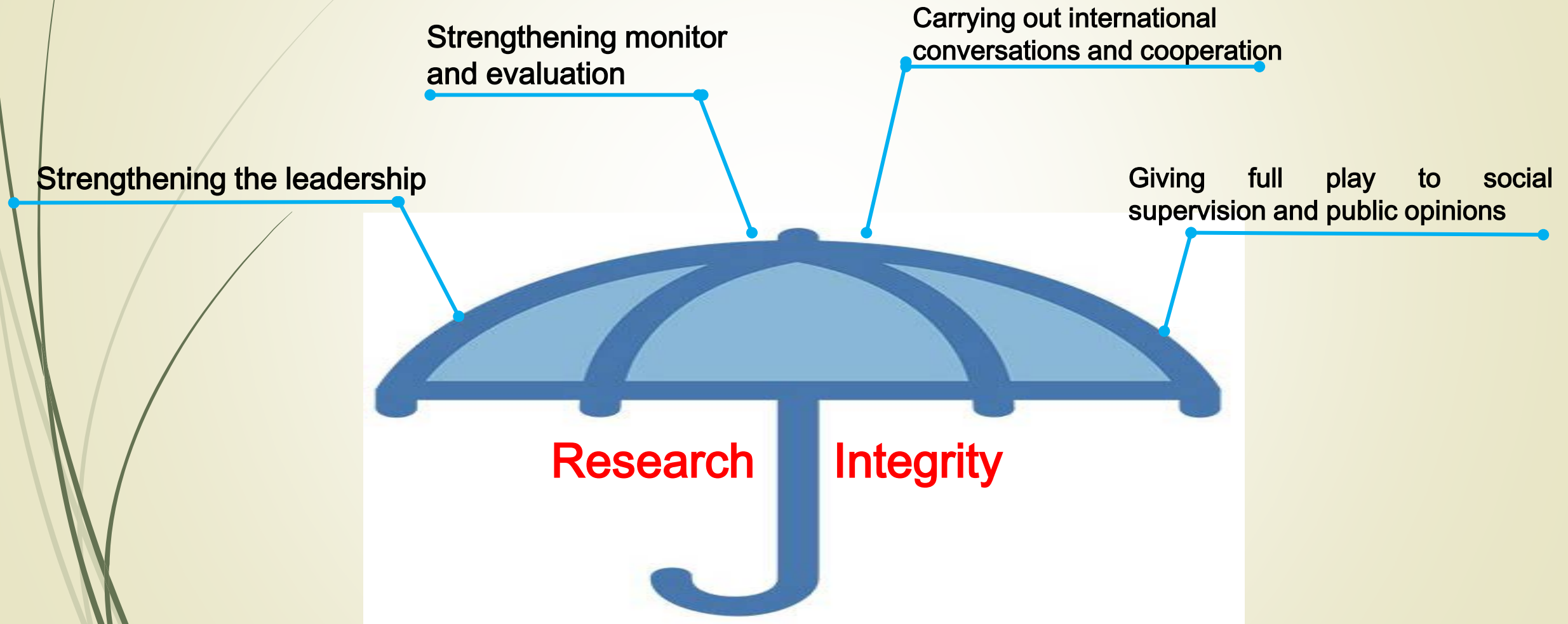
## The administrative authorities of education, health, press and publication

Require educational, medical institutions and academic journals to improve internal control systems and strengthen the promotion of research integrity

## CAS, CAE, CASS

Strengthen the research integrity requirements and supervision for academicians, and strengthen the integrity review of the academicians' recommendation (nomination)

# Dissemination and Implementation





# Dissemination and Implementation



# Dissemination and Implementation



# PRELIMINARY IMPACT EVIDENCE

- ▶ **PM142:** Xiaoyong SHI, YaoYang, Chao Liu,  
National Center for S&T Evaluation
- ▶ **Methods:**
  - ▶ Questionnaire survey to universities and PRIs
  - ▶ Internet data mining (Feb 2019)
  - ▶ Bibliometric analysis of 1092 retracted papers involving Chinese authors (Retraction Watch, 2012-2018)
- ▶ **Findings:**
  - ▶ 15 ministries and agencies: 31 policies
  - ▶ 19 provincial policies and more than half organizational rearrangement
  - ▶ 17.1% of universities & 12.4% of PRIs: new policies
  - ▶ 87.4% of universities & 76.4% of PRIs: new working mechanism & leadership
  - ▶ 67.6% of universities & 33.7% of PRIs: dedicated RI management unit

# Final Remarks



## Final Remarks



- China has attached great importance to Integrity historically and politically
- Determination of coping with the emerging challenges of RI



Q & A


Thanks a lot for your attention!



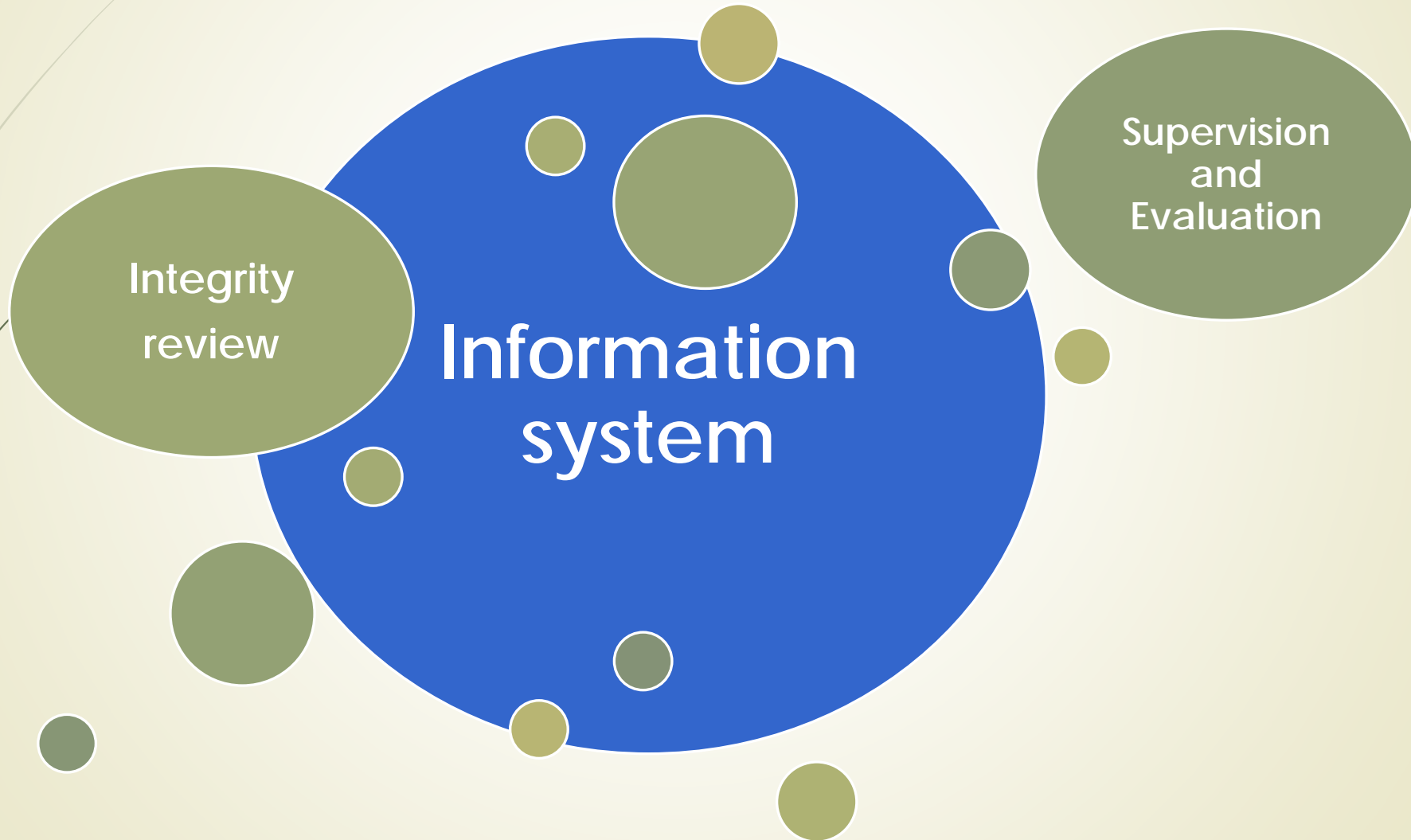




# OUTLINE

- BACKGROUND INFORMATION
  - MAIN CONTENTS OF THE DOCUMENT
  - DISSEMINATION AND IMPLEMENTATION
  - PRELIMINARY IMPACT EVIDENCE
  - FINAL REMARKS
- 

# Dissemination and Implementation



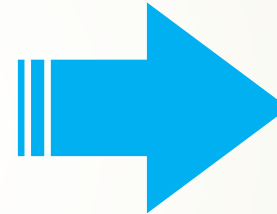


# Formulation of the “Opinions”

- ▶ Leadership: CPC Central Committee and the State Council
- ▶ Draft Team: MOST
- ▶ Hearing of Witnesses:
  - ▶ Other Ministries, Local Governments, Universities, Research Institutes, Enterprises and Researchers
  - ▶ 1<sup>st</sup> Meeting of the Comprehensive Deepening Reform Committee
- ▶ Release: May 2018, by General Offices of the CPC Central Committee and the State Council

## WIDE REACH-Process

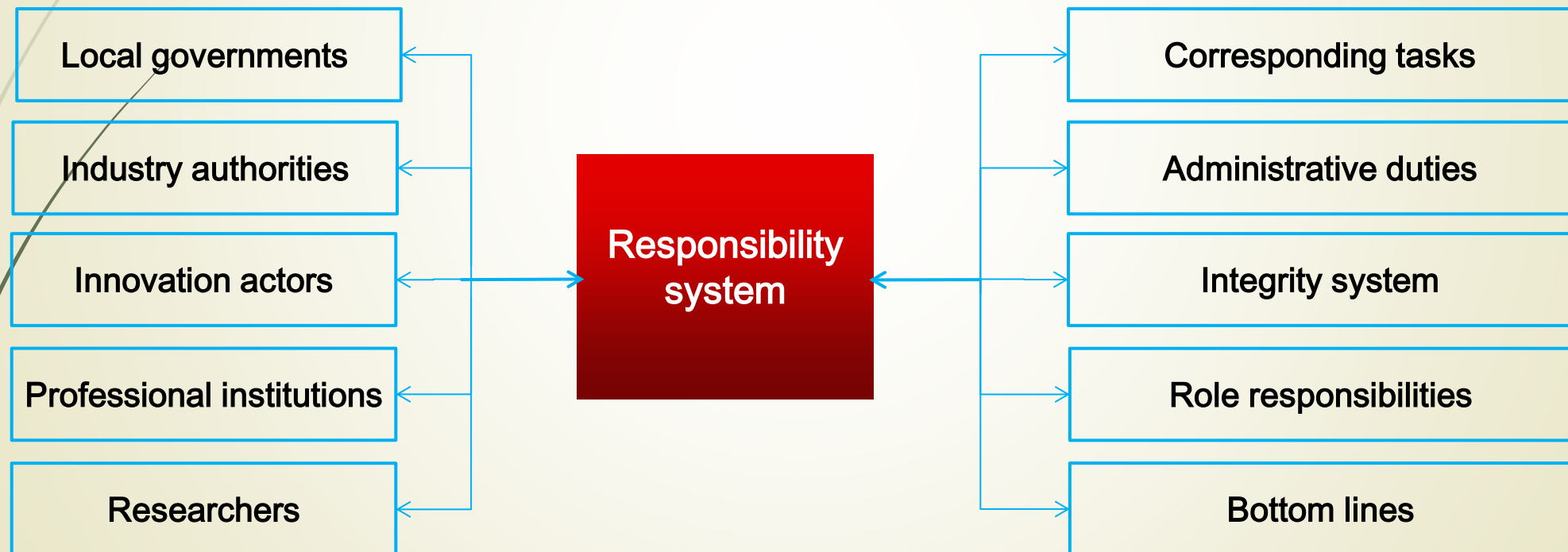
- ✓ Professional Title Assessment
- ✓ Academic Certification
- ✓ Academic Awards
- ✓ Admission of Researchers
- ✓ .....
- ✓ Whole Project Cycle



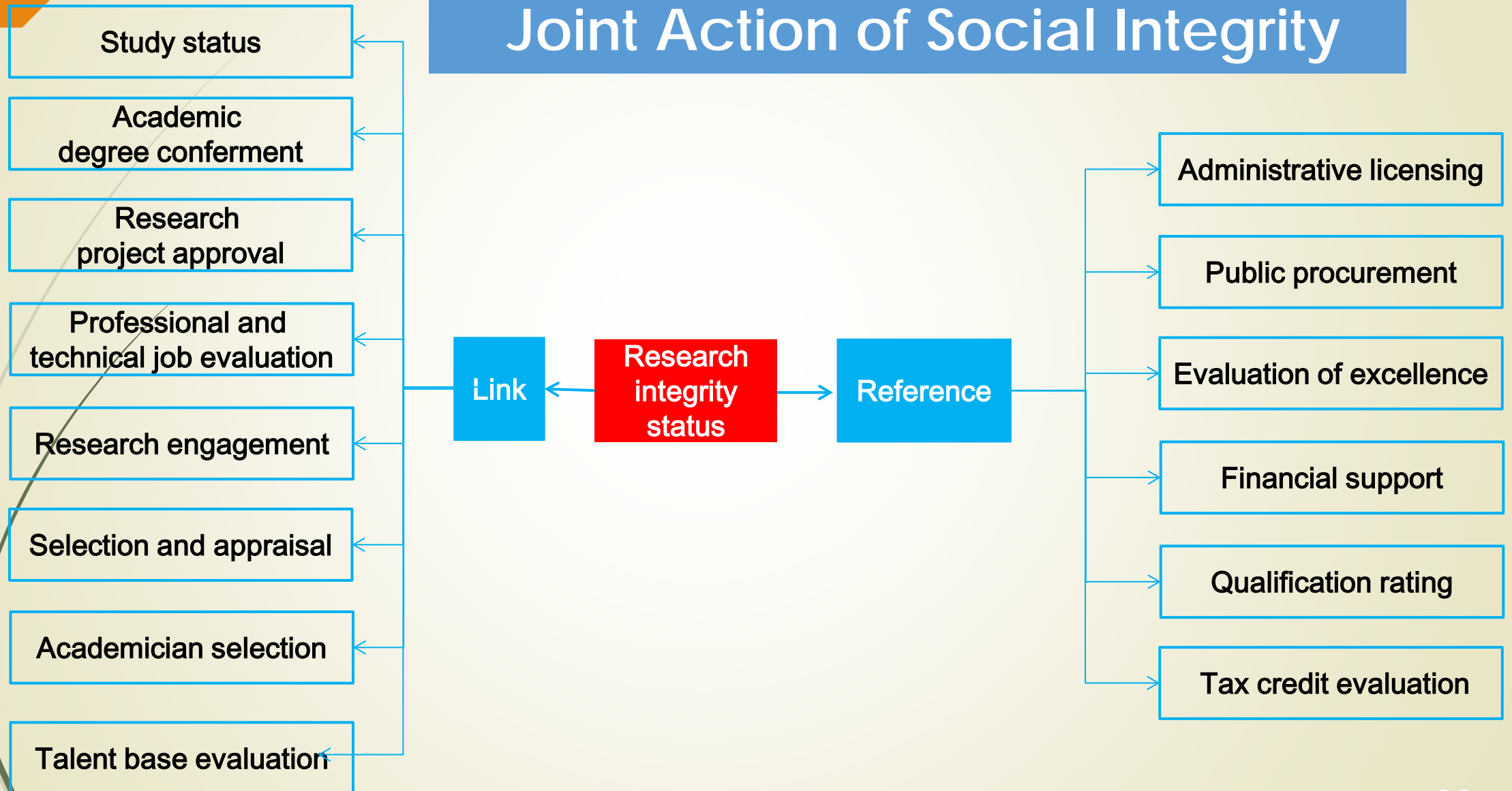
**Embedded  
RI in Every  
Critical or  
Decisive  
Moment**

# Clarification of Responsibilities

**MOST and the CASS are responsible for macro-level guidance & coordination in the fields of natural sciences, and philosophy and social sciences respectively**



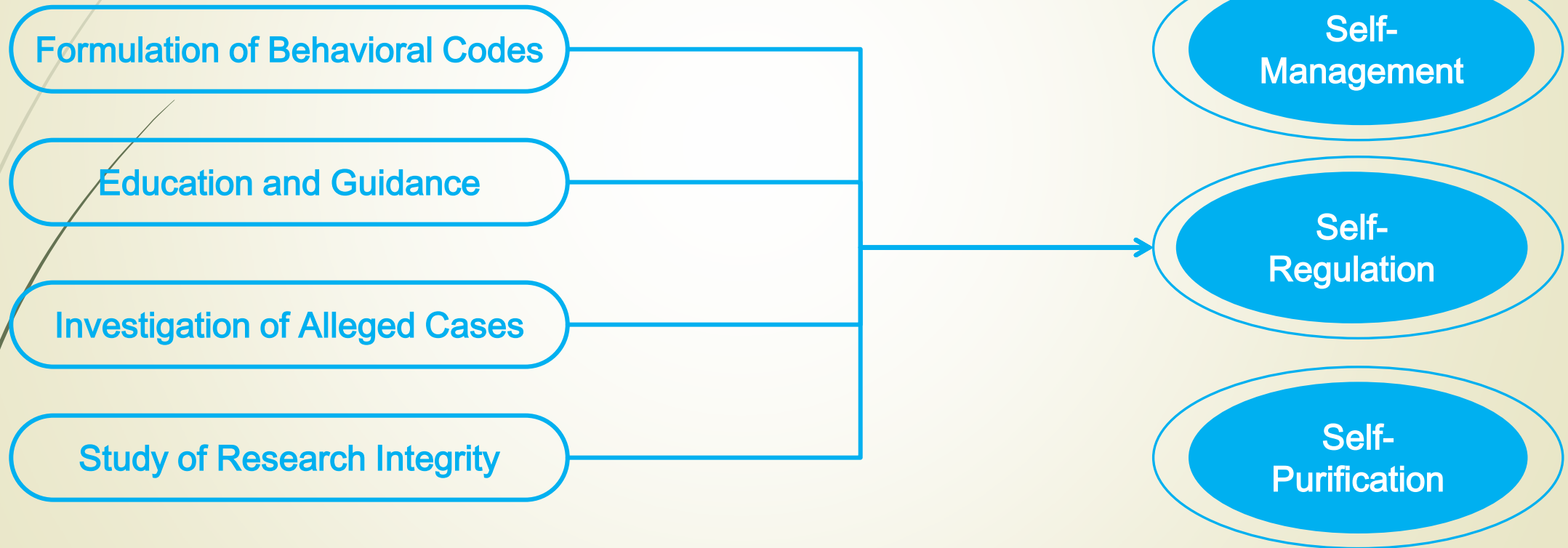
# Joint Action of Social Integrity





# Clarification of Responsibilities

## Scientific Community



# Clarification of Responsibilities



Various types of enterprises, public institutions, and social organizations



Scientific research institutes and institutions of higher learning



Professional management agencies of projects of public S&T plans (funds, etc.)



Scientific and technological intermediary service agencies

# Dissemination and Implementation

Strengthening RI education

Giving full play to the educational and training functions of social groups

Strengthening RI dissemination

www.most.gov.cn/kycxjs/

6th World Conferen

## 科研诚信建设

网站首页 | 动态信息 | 规范性文件 | 工作机制 | 举报信箱 | 举报电话

科技部门户 -> 专题专栏 -> 专项工作 -> 科研诚信建设

动态信息

动态信息

更多>>

- 科研诚信案件调查处理研讨会在镇江召开 (2018-12-12)
- 2017年科技监督评估与诚信体系建设培训班在昆明举办 (2017-09-18)
- 科研诚信建设联席会议第六次会议在京召开 (2017-06-13)
- 科研诚信建设联席会议第五次会议隆重召开 (2017-04-01)
- 科研诚信建设联席会议联络员会议召开 (2017-03-20)

规范性文件

工作机制

举报信箱

举报电话

规范性文件

更多>>

- 科学技术部令第11号 《国家科技计划实施中科研不端行为处理办法（试行）》 (2006-11-10)
- 科学技术部令第7号 《国家科技计划项目评估评审行为准则与督查办法》 (2003-01-29)
- 关于印发《关于在国家科技计划管理中建立信用管理制度的决定》的通知 (2007-02-09)
- 关于印发《科技部科技计划课题预算评估评审规范》的通知 (2006-04-07)

工作机制

更多>>

- 科技部建立查处科技计划实施中科研不端行为的机构和机制 (2007-01-18)

举报信箱

举报电话



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地址：北京市复兴路乙15号 | 邮编：100862 | 地理位置图 | ICP备案序号：京ICP备05022684

# Dont's of Researchers

## Researchers

- Copy or plagiarize other people's scientific research achievements
- Fabricate or falsify research data or research conclusions

- Falsify fraudulently obtaining public funds from scientific and technological plans, scientific research funds, awards, honors, etc.

- Purchase, ghostwrite papers, or submit papers for others
- Fabricate peer review experts or their reviews

- Violate the authorship norms, label without authorization, or falsify grants such as scientific and technological plans (special funds, funds, etc.)

# Do's of Multi-role Researchers

## The PIs and the supervisors or tutors of students

Authorship of  
research outcomes

Authenticity of  
the research data

Experimental reproducibility

Supervisors  
Tutors of graduate  
students

Integrity review

Academic  
oversight

## Evaluation experts, consultants, appraisers, and auditors

Faithful to  
duties

Professional  
ethics

Work independently

Work objectively

Work impartially