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

6th 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

<table>
<thead>
<tr>
<th>Section</th>
<th>Requirements</th>
<th>Clauses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall requirements</td>
<td>Guiding ideas, basic principles, main objectives</td>
<td>1~3</td>
</tr>
<tr>
<td>Operational Mechanism</td>
<td>Improve research integrity management system and responsibility system</td>
<td>4~7</td>
</tr>
<tr>
<td>Strengthen Management</td>
<td>Strengthen integrity management in the entire process of research activities</td>
<td>8~12</td>
</tr>
<tr>
<td>Institutionalization</td>
<td>Further promote institutionalization of research integrity</td>
<td>13~15</td>
</tr>
<tr>
<td>Dissemination and Education</td>
<td>Effectively strengthen education and dissemination of research integrity</td>
<td>16~18</td>
</tr>
<tr>
<td>Investigation and Punishment</td>
<td>Strictly investigate and punish serious breach behaviors</td>
<td>19~21</td>
</tr>
<tr>
<td>Informationlization</td>
<td>Accelerate informationlization of research integrity</td>
<td>22~24</td>
</tr>
<tr>
<td>Safeguard Measures</td>
<td>Arrange safeguard work for further promotion of research integrity</td>
<td>25~28</td>
</tr>
</tbody>
</table>
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
- Improving the RI management system and responsibility system
Characteristics

- Wide Reach (Target and Process)
- Clarification of Responsibilities
- Aspirational
- Normative
- Lifelong Accountability
WIDE REACH Process

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

Local Governments and Relevant Industry Authorities
Strengthen the promotion of scientific research integrity in their jurisdictions, enrich the workforce, and strengthen work logistics

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

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

- Strengthening the leadership
- Research Integrity
- Strengthening monitor and evaluation
- Carrying out international conversations and cooperation
- Giving full play to social supervision and public opinions
Dissemination and Implementation
Dissemination and Implementation
PRELIMINARY IMPACT EVIDENCE

- **PM142**: Xiaoyong SHI, YaoYang, Chao Liu, National Center for S&T Evaluation

**Methods:**
- Questnaire 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

A sound research ecology needs concerted efforts!
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

Information system

Integrity review

Supervision and Evaluation
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
  - 1st 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
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

- Study status
- Academic degree conferment
- Research project approval
- Professional and technical job evaluation
- Research engagement
- Selection and appraisal
- Academician selection
- Talent base evaluation
- Administrative licensing
- Public procurement
- Evaluation of excellence
- Financial support
- Qualification rating
- Tax credit evaluation
Clarification of Responsibilities

Scientific Community

Formulation of Behavioral Codes
Education and Guidance
Investigation of Alleged Cases
Study of Research Integrity

Self-Management
Self-Regulation
Self-Purification
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
Strengthening RI education

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

Strengthening RI dissemination
### Don’ts of Researchers

<table>
<thead>
<tr>
<th>Don’ts of Researchers</th>
<th>Researchers</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Copy or plagiarize other people’s scientific research achievements</td>
<td>• Purchase, ghostwrite papers, or submit papers for others</td>
</tr>
<tr>
<td>• Fabricate or falsify research data or research conclusions</td>
<td>• Fabricate peer review experts or their reviews</td>
</tr>
<tr>
<td>• Falsify fraudulently obtaining public funds from scientific and technological plans, scientific research funds, awards, honors, etc.</td>
<td>• Violate the authorship norms, label without authorization, or falsify grants such as scientific and technological plans (special funds, funds, etc.)</td>
</tr>
</tbody>
</table>
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