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Recently, the General Office of the CPC Central Committee and the General Office of the State Council issued the "Opinions on Further Strengthening the promotion of Scientific Research Integrity", and issued a notice requesting all localities and departments to implement the plan in a practical manner.

The following is the Google translation¹ of the full text of

Opinions on Further Strengthening the Promotion of Research Integrity

Research integrity is the cornerstone of technological innovation. In recent years, China's research integrity promotion has made significant achievements in terms of working mechanisms, institutional norms, education and guidance, and supervision and punishment. However, there are still shortcomings and weak links as a whole. Violations of the requirements for research integrity have occurred from time to time. In order to fully implement the spirit of the 19th National Congress of the Communist Party of China (CPC), nurture and practice the core values of socialism, promote scientific spirit, advocate innovation culture, and accelerate the building of an innovative country, we now propose the following to further strengthen research integrity and create a good research environment with honesty and trustworthiness.

I. Overall requirements

1. Guiding ideas

Fully Implement the guiding principles of the 19th National Congress of the CPC and the 2nd and 3rd Plenary Sessions of the 19th Central Committee of the CPC, guided by Xi Jinping's Thought on Socialism with Chinese Characteristics for a New Era, put into practice the overall requirements of the CPC Central Committee and the State Council on the construction of a social credit system. The goal is to optimize the environment for scientific and technological innovation and promote the institutionalization of research integrity, with a focus on perfecting the research integrity mechanism, adhering to both prevention and punishment, emphasizing both self-discipline and supervision, insisting on no artificial restrictions, full coverage, zero tolerance, and seriously investigating violations of research integrity requirements. Endeavor to build a new pattern of research integrity enabling joint promotion, benefit sharing and co-governance, and create a good climate of honesty and trustworthiness, pursuing truth, advocating innovation, encouraging exploration, and courageously climbing the heights, laying a solid sociocultural foundation for building China into a global power in science and technology.

2. Basic principles

¹ Based on Google translation and checked by hand moderately.

- Clarify responsibilities, seek coordination and good order. Strengthen the top-level design, overall coordination, clarify the responsibilities of various subjects for promoting research integrity, and strengthen the communication, coordination, and collective action of departments to form a joint force for the promotion of research integrity in the whole society.
- Making progress systematically, with key breakthroughs. Build a research integrity system that meets the laws of scientific research and the requirements for building a global power in science and technology. Persist in problem orientation, focus on breakthroughs in behavior cultivation, investigation and sanction, etc., and achieve substantial effects in raising awareness of integrity and optimizing the research environment.
- Encourage innovation, tolerate failure. Fully respect the characteristics of scientific research's instantaneousness of inspiration, diversity of methodology, and uncertainty of approaches, attach importance to the value of trial and error in scientific research, establish a fault-tolerant and error-correcting mechanism that encourages innovation and tolerate failure, and form a research climate that dares to be pioneers and dares to explore.
- Stick to the bottom line, holding lifelong accountability. Comprehensively adopt various methods such as education and guidance, contract agreement, and social supervision, to create a institutional environment and a social atmosphere that adheres to the bottom line and strict self-discipline, so that the trustworthy people get green lights all the way and the untrustworthy people encounter restrictions everywhere. Adhere to zero-tolerance, strengthen accountability, and hold lifelong accountable for those who seriously violate research integrity requirements, according to laws and regulations.

3. Main objective

With the concerted efforts of all parties, research integrity institutions and regulation which being rational and standardized, effective in providing incentives and strict in punishment become sound and complete, a research integrity working mechanism with clear division of labor, coordination and good order, and adequate supervision operate effectively, a research integrity information system with full coverage, information sharing and collective response, and dynamic management is established and improved, and the researchers' awareness of integrity is significantly enhanced, inspiring scientific spirit and abiding by the research integrity norms become the consensus and conscious action of the scientific and technological community, the integrity foundation and innovation ecology of the whole society are consolidated and developed continuously, laying a solid foundation for the construction of an innovative country and the world's scientific and technological power, and providing important support for making China a modernized, prosperous, democratic, civilized, harmonious and beautiful socialist country.

II. Improve the research integrity management system and responsibility system

4. Establish and improve research integrity management system with clear responsibilities and efficient coordination

The Ministry of Science and Technology (MOST) and the Chinese Academy of Social Sciences are responsible for

overall coordination and macro-level guidance on research integrity work in the fields of natural sciences and philosophy and social sciences respectively. Local governments at all levels and relevant industry authorities shall take active measures to strengthen the promotion of scientific research integrity in their jurisdictions, enrich the workforce, and strengthen work logistics. The administrative agencies of science and technology plans should 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 must clearly require that educational, medical institutions and academic journals to improve internal control systems and strengthen the promotion of research integrity. The Chinese Academy of Sciences, the Chinese Academy of Engineering, and the China Association for Science and Technology should strengthen the research integrity requirements and supervision for academicians, and strengthen the integrity review of the academicians' recommendation (nomination).

5. All types of institutions engaging in scientific research activities and participating in scientific and technological management services should effectively perform the main responsibilities for the promotion of research integrity

Various types of enterprises, public institutions, and social organizations engaged in scientific research activities are the primary responsibility subjects for the promotion of research integrity. It is necessary to make specific arrangements for strengthening the promotion of research integrity, and to incorporate research integrity work into routine management. Through internal regulations and employment contracts such as the institute's statute, employees' code of conduct, job descriptions, etc., the company's employees are clearly required to or agree on to comply with scientific research requirements for integrity and accountability.

Scientific research institutes and institutions of higher learning should clearly stipulate the tasks and responsibilities of academic committees in aspects of research integrity through the university charters or the statutes of academic committees, and provide necessary guarantees in terms of work funds, offices, and full-time personnel. An academic committee must conscientiously perform its responsibility for the promotion of research integrity, earnestly perform the functions of deliberation, assessment, case acceptance, investigation, supervision, consultation, and the like, and find together and investigate and deal with each and every violations of the requirements for research integrity. Academic committees must organize or commission grassroots academic organizations and the third party organizations to conduct full coverage review of scientific research outcomes such as important academic papers of their own scientific research personnel. The verification work should be conducted continuously in a cycle of 3-5 years.

Scientific and technological plans (special projects, funds, etc.) project management professional institutions should strictly comply with the requirements of research integrity, strengthen the research integrity management for entire process of scientific and technological projects, such as review of proposals, project management, and acceptance assessment, as well as for project undertakers, review experts, etc., and seriously investigate and punish violations of the requirements for research integrity.

Scientific and technical intermediary service agencies engaged in scientific and technological assessment, scientific and technological consulting, scientific and technological achievements translation, science and technology enterprise incubation, and scientific research funds auditing must strictly abide by professional norms, strengthen integrity management, and consciously accept supervision.

6. Learned societies, associations, and research societies should exercise self-discipline and self-purification

Social groups such as learned societies, associations and research societies must take the initiative to play their roles in relevant activities in their respective fields, including the formulation of behavioral norms, research integrity education and guidance, the investigation and determination of integrity cases, and the research on research integrity theory, to achieve self-regulation, self-management, and self-purification.

7. All kinds of personnel engaged in scientific research activities, science and technology management and services must adhere to the bottom line and strictly self-discipline

Researchers must abide by scientific and ethical guidelines, abide by scientific research activities norms, follow research integrity requirements, and must not copy or plagiarize other people's scientific research achievements or fabricate or falsify research data or research conclusions; they must not purchase, ghostwrite papers, or submit papers for others, or fabricate peer review experts or their reviews. And must not violate the authorship norms, label without authorization, or falsify grants such as scientific and technological plans (special funds, funds, etc.); and should not falsify fraudulently obtaining science and technology plans (special funds, funds, etc.), scientific research funds, awards, honors, etc., there should be no other violations of the requirements of research integrity.

The principle investigators of projects (subjects) and the supervisors or tutors of graduate students should give full play to the role of preaching and teaching, strengthen the management of the research integrity of the members of the project (subject) and students, and carry out integrity review and academic oversight for the authorship of research outcomes such as important papers, the authenticity of the research data, and the experimental reproducibility. Distinguished senior experts such as academicians should play a leading role in the promotion of research integrity and be exemplary in complying with research ethics.

The evaluation experts, consultants, appraisers, and auditors must be faithful to their duties, strictly abide by the requirements of scientific integrity and professional ethics, and follow the relevant regulations, procedures and methods to seek truth from facts and work independently, objectively and impartially to provide responsible, high quality consulting review comments for making scientific and technical management decisions. Scientific and technological management personnel must correctly perform the duties of management, guidance, and supervision and fully implement the requirements for research integrity.

III. Strengthen the integrity management in the entire process of scientific research activities

8. Strengthen research integrity management in the whole process of science and technology plans

The science and technology plan management department should revise and improve the management institutions for all kinds of scientific and technological plan projects at all levels, and implement the requirements for research integrity promotion into the entire process of project management, project evaluation, process management, final acceptance, and supervision and evaluation. It is necessary to stipulate terms for research integrity obligations and liability for breach of contract in various types of scientific research contracts (tasks, agreements, etc.) and strengthen the management of research integrity contracts. Improve the supervision and inspection mechanism for scientific and technological plans, and strengthen regular inspections of the situation of relevant subjects in performing their research integrity duties.

9. Fully implement the scientific research commitment system

Relevant industry authorities and professional project management agencies must implement research integrity commitment systems in scientific and technological plan projects, innovation bases, academician elections, technological awards, major talent projects, etc., and relevant personnel engaged in work such as recommendation (nomination), reporting, review, evaluation should be required to signed a letter of commitment for research integrity, specifying commitments and handling requirements for breach of commitments.

10. Strengthen the review of research integrity

The scientific and technological plan management department and project management professional organization shall conduct scientific research integrity review on applicants of scientific and technological plan projects, with applicants' good scientific research integrity status as a prerequisite for participating in various kinds of scientific and technological plans. The "one-vote veto" is applied to those who seriously violated the requirements for research integrity. The competent authorities of the relevant industries shall examine the integrity of scientific research as a necessary procedure for the work of academician selection, technological awards, professional title assessment, and degree awards.

11. Establish and improve management systems for scientific research achievements such as academic papers

The scientific and technological plan management department and project management professional organization shall strengthen the evaluation of the quality, effectiveness, and impact of the scientific and technological plan outcomes. Enterprises institutions, social organizations, etc. engaged in scientific research activities, should strengthen the management of scientific research achievements, and establish outcomes management systems such as academic paper publication integrity commitment, research process traceable systems, and research results inspection and reporting systems. If research results such as academic papers are in violation of the requirements for research integrity, the responsible persons should be dealt with seriously and (be required) to take measures such as retracting papers to eliminate adverse effects.

12. Deepen the reform of scientific research evaluation institution

Promote the project review, talent evaluation, institutional assessment reform, establish a classification evaluation system oriented to the quality, contribution, and performance of scientific and technological innovation. Research integrity situation should be used as an important indicator of various evaluations, to promote rigorous research, and oppose quick success. Persist in the classified evaluation, highlighting morality, ability, and performance orientation, focusing on the quality, contribution, and influence of prominent achievements, implementing the evaluation system for representative works, and not restricting conditions such as papers, patents, honorary titles, commitments, awards, etc. as a restrictive condition. Prevent tendency of simplified quantification, emphasizing more on quantity than quality, and "one size fits all". Respect the laws of scientific research, set reasonable evaluation cycles rationally, and establish a long-term assessment mechanism for major scientific research. To carry out trial reforms for the evaluation of clinical medical research personnel,

and to establish an evaluation system for clinical medical researchers with reasonable settings, scientific evaluation, standardized management, coordinated operation, and comprehensive services.

IV. Further promote the institutionalization of scientific research integrity

13. Improve research integrity management system

The MOST and the CASS will work with relevant units to strengthen the establishment of scientific research integrity systems and improve management systems such as education and dissemination, investigation and handling of integrity cases, information collection, and classified evaluation. Enterprises, institutions, social organizations, etc. engaged in scientific research shall establish and improve their own systems for education and prevention, scientific research activities records, scientific research archives preservation, etc., clarify responsible entities, and improve internal supervision and constraint mechanisms.

14. Improve the investigation and sanction rules for breaches of the requirements for research integrity

The Ministry of Science and Technology and the Chinese Academy of Social Sciences shall work together with the Ministry of Education, the National Health Committee, the Chinese Academy of Sciences, the China Association for Science and Technology and other departments and units to study and formulate unified rules for the investigation and sanction, making explicit provisions in aspects of complaints acceptance, investigation procedures, division of responsibilities, and sanction criteria, appeals, real-name whistleblowers, and the protection of complainants, etc.. Enterprises, institutions, social organizations, etc. engaged in scientific research shall formulate investigation and handling measures for their own units, and clarify specific requirements such as investigation procedures, processing rules, and sanction measures.

15. Establish and improve academic journal management and advance warning systems

Departments such as news and publishing should improve the management system of periodicals, take effective measures, strengthen the promotion of high-level academic journals, strengthen the academic and social benefits, and prioritize the requirements of academic journals and improve the influence of academic journals in China, and increase the international discourse rights of academic journals. Academic journals should give full play to their role in the promotion of research integrity, effectively improve the quality of review, and strengthen the review of academic papers.

The Ministry of Science and Technology shall support related agencies to publish a list of warnings for domestic and international academic journals, to establish an advance warning mechanism for academic journals and implement dynamic tracking and timely adjustments. Scholarly journals that disregard academic quality, show confusion in management, put commercial-interests above everything, and cause adverse effects will be blacklisted. The unit of the author of the paper should strengthen the management of the papers published by the research personnel of the unit, and remind the scientific research personnel who publish the papers in the academic journals listed on the warning list promptly; for the papers published in the blacklisted academic

journals, it shall not be recognized in the evaluation of various types of assessment, and may not be reimbursed for the costs associated with the publication of the paper.

V. Effectively strengthen the education and dissemination of research integrity

16. Strengthen education of research integrity

Enterprises, public institutions, and social organizations engaged in scientific research should incorporate research integrity into their daily management, and strengthen research integrity education for researchers, teachers, and young students. Education must be provided at the important moments such as entry to school, promotion of titles, and participation in science and technology projects must be strengthened. For those who have problems in the research integrity, their unit should promptly carry out research and strengthen education.

The science and technology plan management department, project management professional organization, and project undertaking unit shall, in accordance with the characteristics of the scientific and technological plan organization and implementation, effectively carry out research integrity education for researchers who undertake or participate in scientific and technological plan projects.

17. Give full play to the educational and training functions of social groups such as learned societies, associations, and research societies

Social groups such as learned societies, associations, research societies should take the initiative to strengthen research and integrity education and training work, and help researchers familiarize themselves with the specific requirements of scientific research integrity, and guide researchers to consciously resist misbehavior such as falsification, fraud, and plagiarism, and carry out responsible scientific research.

18. Strengthen research integrity dissemination

Innovating means, broadening channels, making full use of traditional media such as radio and television, newspapers and magazines, and new media such as micro-blog, WeChat, and mobile phone client-side, to strengthen scientific research and integrity education. Vigorously publicize the exemplary model of research integrity and let the exemplary figures play demonstrative roles. Timely exposure of typical cases that violate the requirements of research integrity and conduct warning education.

VI. Strictly investigate and punish the serious breaches of the requirements of research integrity

19. Effectively perform investigation and sanction responsibilities

The MOST is responsible for the supervision of the fraud papers in natural science, and the CASS is responsible for the supervision of fraud papers in philosophy and social sciences. The MOST and CASS should make clear the relevant agencies which are responsible for research integrity work, do a good job in receiving allegations, verify facts, and routine supervision, establish an inter-departmental joint investigation mechanism, and organize joint investigations on research integrity cases. The unit where a perpetrator of the requirement for research integrity works is the first entity for investigation and sanction. The units should clarify the responsibilities and division of labor of investigation and sanction of the organization's research integrity agencies and supervisory audit institutions, and conduct investigations and sanctions in a proactive, fair and equitable manner. Relevant industry authorities should strengthen guidance and timely supervision in accordance with the responsibilities and affiliation relationships, adhere to the separate academic and administrative lines, and pay attention to the role of social organizations such as learned societies, associations, and research societies. For intermediary service agencies engaging in the sale of academic papers, ghostwriting, submitting manuscripts on behalf of authors, and fabricating, fictionalization, and falsification of research data and other illegal activities, authorities of market supervision and management, public security, and other agencies should actively investigate and severely punish them. Protect the legal right of the relevant responsible parties, such as the right to appeal, the factual determination and sanction decision should fulfill the obligation to inform the parties concerned, and promptly publish the results in accordance with laws and regulations. Scientific research personnel should actively cooperate with investigations to provide complete and valid scientific research records timely. Those who refuse to cooperate with investigations and conceal or destruct research records must be dealt with intensively. For those who fabricate facts and make false accusations, they must be severely dealt with in accordance with the relevant regulations; in the case of false reports, serious impacts on the reported entities and individuals, they must be promptly clarified and exonerated.

20. Sternly crackdown on behaviors that seriously violate the requirements of research integrity

Adhere to zero tolerance, maintain a high-pressure situation to behaviors that severely violates the requirements of research integrity, and strictly identify the people accountable. Establish a system for holding the perpetrators lifelong accountable, follow laws and regulations in accordance with regulations and conduct lifelong investigations on behaviors that seriously violate the requirements for research integrity, and investigate and punish them at any time upon discovery. Actively carry out theoretical research on criminal liability of behaviors that seriously violates the requirements for research integrity, and promote the timely introduction of corresponding criminal sanctions by the legislative and judicial departments.

Relevant industry authorities or units where the serious perpetrators of the requirements of research integrity work shall be responsible for differentiating the situations, give research integrity reprimand talks to responsible persons; cancel the project qualifications, cancel the funded projects or terminate the project contracts, and recover the funding for research projects; Rewards, honorary titles, and rewards for recovery of bonuses; dismissal of students in accordance with the law, cancellation of degree, teacher qualifications, revocation of medical practitioners' licenses, etc.; certain period of time up to lifetime ban on promotion of professional title, application for science and technology projects, acting as assessment or evaluation expert, nomination as academician candidates and other qualifications; revoke labor contracts and employment contracts in accordance with regulations; ban of teaching and research work In public schools, hospitals, research institutes, etc. lifelong; and other sanctions such recording into scientific integrity archive or database. Those who are seriously violating the requirements of research integrity and who are responsible for public affairs shall be given sanctions in accordance with the law; if they are party members, they shall be disciplined

according to rules and discipline. Alleged crimes such as fraud and corruption of scientific research funds, etc., shall be handed over to the supervisory and judicial authorities in accordance with the law.

For units that harbor, indulge, or even defraud various types of financial grant projects or incentives, the relevant competent departments shall give interviews to the principal responsible persons, stop or debit funds, make a record in the database of serious scientific dishonesty behaviors, and transfer them to the judicial authorities.

21. Take joint disciplinary action

Strengthen the research integrity information sharing across regions, and follow laws and regulations to take joint disciplinary measures against those who seriously violate the requirements for research integrity. Promote the unified handling procedure of various types of scientific and technological plans at all levels, and recognize the relevant processing results. The status of research integrity is linked to student status management, academic degree conferment, research project approval, professional and technical job evaluation, job engagement, selection and appraisal, academician selection, and talent base evaluation. Promote the use of research integrity status as an important reference in administrative licensing, public procurement, evaluation of excellence, financial support, qualification rating, and tax credit evaluation.

VII. Accelerate the promotion of research integrity informationalization

22. Establish and improve the research integrity information system

The MOST and CASS should establish a research integrity information system covering the national natural sciences, philosophy and social sciences, to record the research integrity information of scientific researchers, relevant institutions, organizations, etc. To research and formulate scientific and reasonable research integrity assessment indicators and method models, suitable for different types of scientific research activities and objects' characteristics, and to clarify evaluation methods, cycle, and procedures. It focuses on the integrity assessments of the researchers, consultants and review experts participating in the activities of the organization, management or implementation of scientific and technological plans (projects), scientific and technological statistics, and project management professional organizations, project undertakers, intermediary service agencies, other responsible entities, etc. .

23. Regulate the management of research integrity information

Establish and improve management systems for the collection, recording, evaluation, and use of research integrity information, and clarify the main bodies, procedures, and requirements for implementation. According to the characteristics of different responsible parties, formulate scientific research credibility information catalogs for different types of scientific and technological activities, clarify information categories and management processes, and standardize the scope, content, methods of information collection, and information use.

24. Strengthen the sharing and use of research integrity information

Gradually promote the interconnection and interoperability between research integrity information system and the national credit information sharing platform, local research integrity information system, to achieve information sharing in different stages and with different authorization, and provide support for inter-departmental and inter-regional joint punishment.

VIII. Safeguard measures

25. Strengthen the party's leadership in the promotion of research integrity

The CPC leadership groups at all levels must attach great importance to the promotion of research integrity, earnestly strengthen leadership, clarify tasks, refine division of labor, and advance solidly. Relevant departments and localities should integrate the existing scientific research safeguard measures, establish a responsibility system for the establishment of research integrity, clarify the division of labor, specify the target responsibilities, and specify the time for completion. The Ministry of Science and Technology shall establish a system of supervision and notification of the promotion of research integrity, and commend the localities, departments, organizations have achieved remarkable results; and if the measures are not effective or the work is not implemented, it shall be subject to public criticism and the supervising rectification.

26. Give full play to social supervision and public opinion guidance

Give full play to the supervision role of social public, news media, etc. on the promotion of research integrity. Smooth reporting channels and encourage the responsible real name allegations of breaches of research integrity. The news media should strengthen the positive guidance of research integrity. For research integrity events that attract wide public concerns, the parties' units and the competent department of the industry shall promptly take measures to investigate and deal with them, and promptly announce the results of the investigation and sanction.

27. Strengthen monitoring and evaluation

To carry out dynamic monitoring and third-party evaluation on the development of research integrity, monitoring and evaluation results as an important basis to improve the relevant work, and their results are also important evidences for the performance evaluation of scientific research institutions, enterprises to enjoy government funding and so on. Conduct monitoring and analysis for important research integrity events in time. Regularly publish China's report on research integrity.

28. Actively carry out international conversations and cooperation

Actively carry out conversations and cooperation with relevant countries, international organizations, etc., and strengthen the research on new situations and new issues in the research integrity promotion brought by the development of science and technology, jointly improve international scientific research standards, and effectively respond to transnational and cross-regional research integrity cases.