

# **Document of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

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**Notice of Shenzhen Institute of Advanced Technology,  
Chinese Academy of Sciences on Issuing the *Regulations on  
Punishment for Dishonorable Behavior in Scientific Research,  
the Regulations on Membership in Domestic and  
International Organizations, and the Regulations on  
Reimbursement of Journal Paper Publication Fee***

All units (department) of the SIAT:

To carry forward the scientific spirit, strengthen the construction of scientific research ethics and study style, improve the working mechanism of both prevention and punishment, and create an honest and trustworthy scientific research environment, the *Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Punishment for Dishonorable Behavior in scientific*

*Research* are hereby formulated. In the meantime, to standardize related management, the *Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Membership in Domestic and International Organizations*, and the *Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Reimbursement of Journal Paper Publication Fee* have been revised. These three systems were deliberated and approved by the 1st Institute Administrative Affairs Meeting in 2020 and are hereby issued for implementation.

Shenzhen Institute of Advanced  
Technology, Chinese Academy of  
Sciences

January 21, 2021

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Office of Shenzhen Institute of Advanced Technology, Issued on January 29,  
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# **Punishment Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Dishonorable Behavior in Scientific Research**

## **Chapter 1 General**

**Article 1** To carry forward the scientific spirit, strengthen the construction of scientific research ethics and study style, improve the working mechanism of both prevention and punishment, create an honest and trustworthy scientific research environment, and promote the healthy and sustainable development of scientific research work of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (hereinafter referred to as "SIAT"), according to the *Punishments on Dishonorable Behavior in Scientific Researches During the Implementation of the State Sci-Tech Plan* issued by the Ministry of Science and Technology of the People's Republic of China and the *Interim Measures of Chinese Academy of Sciences on Investigating and Treating Dishonorable Behavior in Scientific Research* issued by the Chinese Academy of Sciences, combined with the actual situation of the SIAT, these measures are hereby formulated.

**Article 2** In addition to all employees, students, post-doctoral researchers of the SIAT, these measures also apply to visiting scholars who carry out scientific research and academic activities in the name of the SIAT and other exchange personnel working or studying in the SIAT .

## **Chapter 2 Identification of Dishonorable Behavior in Scientific Research**

**Article 3** Dishonorable behavior in scientific research refers to fabrication, fraud, plagiarism and other acts contrary to the accepted ethics of the scientific community in the field of research and scholarship; acts that violate social morality during the scientific research activities, such as abusing and defrauding scientific research resources, including but not limited to:

(I) Dishonorable behaviors at the stage of scientific research project application/dissertation proposal

1. Providing false information about a researcher's job title, resume, and research foundation;
2. Exaggerating the theoretical significance and practical value of the scientific research project;
3. Concealing or ignoring the potential negative effects after the implementation of the scientific research project;
4. Plagiarizing others' academic ideas and research programs, infringe others' right to know and of authorship;
5. Abuse of scientific research resources to seek improper benefits.

(II) Dishonorable behaviors at the stage of scientific research project /paper implementation

1. Arbitrarily changing project implementation subject;
2. Improperly using scientific research funds;
3. Forging or fraudulently obtaining test specimens;
4. Falsifying and tampering with experimental data, altering original transcripts and pictures;
5. Plagiarizing others' achievements;
6. Deliberately interfering with or obstructing the research activities of others, including intentionally damaging, seizing or withholding instruments and equipment, documents, data, software or other articles necessary for scientific research activities of others.

(III) Dishonorable behaviors at the stage of publishing scientific research achievements

1. Making improper authorship of scientific research achievements, including using authorship that is inconsistent with the actual contribution or without the permission of others, excluding individual or unit that make creative contributions, proposing unreasonable claims about author or co-author status or ranking, or obtaining authorship or co-authorship of a work by other means without the permission of the original author;

2. Usurping the scientific research achievements of others, including publishing the words or concepts on others' materials as his/her own achievements, deliberately omitting facts that cite the work of others to create a false impression that such achievements are his/her new discoveries and inventions, or deliberately tampering with contents and taking words out of context;

3. Making multiple submissions and repeated publication of scientific research papers, including submitting the same research achievement to multiple publications, re-publishing the essentially identical research achievements by disguising, publishing research achievements based on the same dataset or subset of data in multiple works (except for works with a close succession relationship).

(IV) Dishonorable behaviors at the stage of scientific research evaluation

Showing bias or posing exaggeration to the value of scientific research achievements due to conflicts or alliances of interest in peer review.

**Article 4** Unintentional errors or deficiencies in the research plan and implementation process, errors in the interpretation and judgment of evaluation methods or results, errors and errors caused by research level and ability, and errors unrelated to scientific research activities cannot be considered as dishonorable behavior in scientific research.

### **Chapter 3 Investigation into Dishonorable Behavior in Scientific Research**

**Article 5** The Secretariat Department of the Leading Group on the Construction of Scientific Research Ethics and Style of Study (standing institution of the Department of Science & Technology Development) of the SIAT accepts and investigates complaints of alleged dishonorable behavior in scientific research. In principle, only written complaints with real signatures and contact information, a clear target and content of the complaint, and corresponding evidence or clear clues will be accepted.

**Article 6** Procedures for investigating and dealing with alleged dishonorable behavior in scientific research include:

(I) Preliminary verification. Special persons (not less than 2) will be designated by the leading group for the construction of propaganda and education of scientific research ethics and style of study of the SIAT to conduct investigation by reviewing materials, understanding the situation, make individual talks, etc., and confirm the authenticity of the complaint and the seriousness of dishonorable behavior in scientific research within 20 working days after the complaint is accepted;

(II) Formal investigation. After the preliminary investigation, if it is confirmed that there is dishonorable behavior in scientific research, the leading group for publicity and education of scientific research ethics and style of study of the SIAT will formally establish an investigation group (not less than 3 members). The investigation team follows the principle of avoidance, and personnel related to the incident are not allowed to participate in the investigation team. Take the relevant information, understand situation from the complainant or the institute headquarters, make individual talk, consult experts, set up a panel to review and appraise the case, organize repeated experiments and other ways to investigate, and independently test and judge the facts and evidence, generally completed in 3 months.

(III) Announce conclusion and handling opinions. After the formal investigation, the leading group for the construction of propaganda and education of scientific research ethics and style of study of the SIAT forms an investigation conclusion, reporting to the President Office Meeting for handling, and announced within a certain range.



## **Chapter 4 Sanctions to Dishonorable Behavior in Scientific Research**

**Article 7** If the dishonorable behavior in scientific research is considered to be not true after investigation, it is necessary to feed the situation back to the real-name complaint informer, or make clarification within a certain range.

**Article 8** If the dishonorable behavior in scientific research is considered to be true after investigation, the SIAT will give academic sanction, organization sanction, or disciplinary sanction to the person concerned, and feed the situation back to the real-name complaint informer.

(I) Academic sanctions include:

1. Suspending funding for scientific research projects and activities and ordering person concerned to make rectification within a time limit;
2. Terminating or cancelling relevant scientific research projects, withdrawing funding, and revoking relevant academic awards and honorary titles;
3. Cancelling the application or declaration qualification of projects, awards, professional position promotion, etc., within a certain period;
4. Disqualifying of members or experts of academic bodies such as the Degree Committee;
5. Suspending, non-conferring or revoking a degree;
6. Reducing recruitment quota, suspending or even revoking the qualification of graduate student supervisor;
7. Other academic sanctions.

(II) Organization sanctions include:

1. Criticism in private;
2. Criticism by circulating a notice
3. Ordering person concerned to resign his/her post;

4. Other organization sanctions.

(III) Disciplinary sanctions include:

1. Warning;
2. Demerit;
3. Demotion or removal from office;
4. Dismissal.

**Article 9** In the following circumstances, discretionary leniency or mitigation of punishment may be considered:

1. Showing repentance indeed after receiving criticism;
2. Voluntarily admitting mistakes and actively cooperating with the investigation;
3. Taking the initiative to eliminate the impact and effectively avoid or recover losses;
4. Other circumstances that can be mitigated from punishment.

**Article 10** In the following circumstances, discretionary heavier or aggravated punishment may be considered:

1. Concealing, forging or destroying evidences, interfering with or obstructing investigation;
2. Retaliating against or complain the informer;
3. Repeatedly committing dishonorable behavior in scientific research and refuse to make rectification after being punished for many times;
4. Other circumstances that may incur aggravated punishment.

## **Chapter 5 Bylaw**

**Article 11** These Regulations are interpreted by the Department of Science & Technology Development.

**Article 12** These Regulations are implemented as of the date of promulgation.