## Academic Ethics for Faculty of Shanghai Ocean University

#### Chapter One General Provisions

**Article 1** Academic ethics are the basic norms that academic researchers should follow. This specification is specially formulated to encourage the innovation of the academic team, promote academic prosperity and establish a sound academic evaluation mechanism; to strengthen the academic integrity awareness of teachers in Shanghai Ocean University and maintain the highest academic ethics; to effectively distinguish between normal academic exploration, academic disputes, and academic misconduct.

**Article 2** This specification applies to all teachers in Shanghai Ocean University, including all faculty members, researchers, post-doctorate, staff, etc. It is also applicable to visiting scholars and further training teachers who engage in academic activities in the name of Shanghai Ocean University.

#### Chapter Two Basic Academic Ethics

**Article 3** Teachers shall abide by relevant national laws and social ethics; during the process of academic research, they must adhere to the principles of rigor and integrity, and shall abide by the following academic ethics:

(1) In academic activities, fully respect the outcomes that have been obtained; sources should be indicated when citing the references; the quoted part cannot constitute the main or substantive part of the quoting person's work; when the third party's work is quoted from the work of others, the source of forwarding should be indicated.

(2) Collaborative research results must be reviewed by all authors before publication, who should be responsible for the research results, and the moderator of the collaborative research is responsible for the overall research results.

(3) When academic evaluation is conducted, the principles of fairness, objectivity, comprehensiveness, and accuracy should be followed.

**Article 4** Teachers must not engage in the following academic moral misconduct:

(1) Forgery and tampering: deliberately fabricating or tampering with experimental data, conclusions, or quoted materials in their own research results, etc.

(2) Plagiarism: plagiarizing others' works during academic activities, plagiarizing others' academic opinions, academic thoughts or experimental data, survey results, etc.

(3) Falsifying academic experience: When filling in relevant personal academic information, failing to truthfully report academic experience and academic achievements, forging expert appraisals, certificates, and other academic ability proof materials, etc.

(4) Improper signature: signing in other people’s published works while not participating in actual research or writing process; signing his/her own name without the consent of the person being signed, etc.

(5) Abuse of academic credibility: exaggerating the value of results in the process of academic activities; publishing to the media research results that have not been reviewed by academic peers, etc.

(6) Other behaviors that violate the academic ethics recognized by the academia.

#### Chapter Three Processing Organization and Responsibilities

**Article 5** The Academic Ethics Committee of the university sets up a special academic ethics committee, responsible for evaluating the university’s academic ethics guidelines, policies and existing problems, accepting reports on academic ethics issues, conducting independent investigations on academic ethics issues, and providing information to the principal with clear investigation conclusions and treatment suggestions.

**Article 6** The Academic Ethics Committee is composed of personnel designated by the Academic Committee of the university. The director shall be appointed by the director of the Academic Committee of the university. The composition should consider the distribution of disciplines; if necessary, an independent temporary working group shall be established to investigate academic ethics issues and submit a confirmation report to the Academic Ethics Committee. The daily office of the school’s Academic Ethics Committee is the inspection office of the principal’s office.

**Article 7** The Academic Committee of a college or a department is an organization that deals with academic ethics issues of the college or a department, and an independent temporary working group shall be established when necessary.

#### Chapter Four Reporting and Determination of Academic Misconduct

**Article 8** The report of academic misconduct shall be reported on the basis of real-name, and the informer can report to the Academic Committee of the college or department where the informer belongs or directly to the Academic Ethics Committee of the university. The reporting agency is responsible for keeping the informer confidential.

(1) After receiving the report, the Academic Committee of the college or department will immediately conduct inquiries based on the documents provided by the reporter and decide whether to initiate a formal investigation procedure within 15 working days. The inquiry report and investigation conclusion must be filed with the Academic Ethics Committee of the university.

(2) After receiving the report, the Academic Ethics Committee of the university will immediately make inquiries based on the documents provided by the informer. Within 15 working days, the Academic Ethics Committee of the university will formally entrust the Academic Committee of the college or department where the reporter belongs to conduct joint investigations into the conduct that may involve academic misconduct. It is also possible to form a temporary working group to conduct a joint investigation with the Academic Committee of the college or department where the informer belongs.

(3) The informer and the teacher with misconduct have the right to apply for the withdrawal of relevant persons.

(4) The formal investigation shall listen to the statements of the informer and the teacher with misconduct respectively, complete fact finding within 60 working days, form a written investigation report, and submit it to the Academic Ethics Committee of the university. If there are special circumstances, applications can be submitted to the Academic Ethics Committee of the university to extend the investigation time.

(5) The Academic Ethics Committee of the university shall deliver the written investigation report to the informer and the teacher with misconduct. Within 5 working days after the written investigation report is served, the informer and the teacher with misconduct can put forward different opinions on the report in written form.

(6) The Academic Ethics Committee of the university conducts deliberation based on the above investigations and makes factual confirmation and handling opinions. The results must be passed by more than two-thirds of the members in an anonymous manner.

(7) During the process of accepting reports and investigations, all personnel involved in the investigation shall not disclose the investigation and handling situation, and shall take appropriate measures to protect the informer, the reported person, and witnesses.

#### Chapter Five Handling and Appeals

**Article 9** The Academic Ethics Committee of the university may make corresponding handling suggestions for individuals who violate the academic ethics standards, depending on their behaviors and circumstances.

(1) Report on handling methods: require the teacher with misconduct to publicly apologize to relevant individuals or units, compensate for losses, suspend academic promotion, revoke relevant awards or other qualifications obtained, warning, demerit, demotion, remove from office, dismissal, expulsion, etc. The above processing methods can be made separately or in combination.

(2) Administrative sanctions must be approved by the principal’s office; the sanction decision should be sent to the person being reported.

**Article 10** If the reported person disagrees with the sanction decision, he/she may appeal to the higher education administrative agency, and the execution of the handling decision will not be suspended during the appeal period.

**Article 11** For malicious false accusations, the Academic Ethics Committee of the university will investigate and deal with it according to Article 9 or make recommendations to the relevant institutions.

#### Chapter Six Supplementary Provisions

**Article 12** These regulations shall be implemented from the date of promulgation, and the Academic Ethics Committee of the university is responsible for the interpretation.