

# ORIENTATION HANDBOOK

FOR NEW POSTGRADUATE STUDENTS

**2020**



1 | STUDY  
TSINGHUA  
UNIVERSITY

## COMPILED BY

Graduate School of Tsinghua University  
Department of Graduate Administration, Tsinghua University  
Security Department, Tsinghua University  
Student Community Management & Service Center, Tsinghua University  
Tsinghua University Library  
Center for Student Learning and Development, Tsinghua University  
Career Development Center, Tsinghua University  
Center for Student Psychological Development, Tsinghua University  
Center for Global Competence Development, Tsinghua University

## EDITED BY

Graduates Union of Tsinghua University

---

# ACADEMIC NORMS AND ACADEMIC ETHICS

## Part 05



## Academic Norms and Misconducts

### What are academic norms? \_\_\_\_\_

#### ***Guidance on Academic Norms of Science and Technology for Universities***

*Guidance on Academic Norms of Science and Technology for Universities* compiled by the Ministry of Education defines the academic norms as follows:

Academic norms refer to the norms of conduct for academic activities, the principles that members of the academic community must observe, and the conditions that guarantee the scientific, efficient and fair operation of the academic community. They have been customarily produced from academic activities, and become a relatively independent normative system.

Academic norms are basic guidelines for academic activities based on the law of academic development and reflections of long-term experience, which members should observe consciously.

# Definition, form and punishment of academic misconducts

Whether as a graduate student or future scientific researcher, academic misconduct is a problem you should treat seriously. Apart from ruining the academic ethos, infringing on others' intellectual property rights, harming others' interests and undermining the good academic atmosphere, academic misconduct will make you lose your integrity and professional ethics, and could ruin your future. Resisting academic misconduct can not only maintain a good academic atmosphere and scientific research environment, and recognize the honest efforts of scientific researchers, but also prevent disruptions for the sound and efficient development of academic research.

## 01. Definition of academic misconducts

### ***The Measures for the Prevention and Punishment of Academic Misconducts in Institutions of Higher Education***

No. 40 Order of the Ministry of Education of the People's Republic of China *The Measures for the Prevention and Punishment of Academic Misconducts in Institutions of Higher Education* came into force in September 2016. For the purpose of these Measures, "academic misconduct" refers to the act of violating recognized academic norms and academic integrity as committed by institutions of higher education as well as their teaching and scientific research staff members, administrators and students in scientific research and relevant activities.



## 02. Main forms of academic misconducts

### ***Measures for the Prevention and Punishment of Academic Misconduct in Tsinghua University***

In accordance with the *Measures for the Prevention and Punishment of Academic Misconducts in Institutions of Higher Education*, *Charter of Tsinghua University* and other relevant regulations, the *Measures for the Prevention and Punishment of Academic Misconduct in Tsinghua University* were formulated in light of the actual situation of the university.

Article 22 stipulates that any of the following conducts in scientific research and related activities shall be deemed as an academic misconduct:

- Plagiarism or claiming credit for others' research;
- Making unauthorized changes to others' research findings;
- Fabricating research data, materials, references, notes, facts or research findings;
- Claiming credit for research or papers that are not one's own, giving improper credit to others without their permission, claiming joint credit for oneself and one or more partners who do not exist, or withholding full credit from others for their contributions to any joint work or research;
- Presenting false academic information when proposing research projects, declaring findings, or applying for awards, titles or degrees;
- Buying or selling non-dissertation papers, having others ghostwrite such papers or ghostwriting such papers for others;
- Any other forms of academic misconducts according to the rules of institutions of higher learning or related academic organizations and scientific research institutions.

Article 23 stipulates that any academic misconduct under any of the following circumstances shall be

deemed as serious violation:

- Causing adverse effects;
- Benefit transfer or exchange of interests;
- Retaliation on the complainant;
- Organized academic misconducts;
- Repeated academic misconducts;
- Causing serious consequences or adverse effects under other circumstances.

### ***Opinions on Enhancing the Construction of Codes of Research Conduct (CAS)***

In the book of *Opinions on the Manifesto of Scientific Concepts and on Strengthening the Construction of Scientific and Technological Norms (CAS)* published on December 1, 2007, the following provisions on specific misconducts in scientific research were made:

- Deliberately making false accounts in research and academic fields, including: fabricating data; falsifying data; altering original transcripts and images; making false statements in project applications, results declarations and job applications.
- Infringing on others' copyright, including: infringement of the right of authorship, such as excluding the person with innovative contributions from the list of authors, including him/her in the list of authors without his/her consent, including the person without the right of authorship in the list of authors, unreasonably asking for the author or co-author's identity or ranking, or acquiring the authorship or co-authorship of others' work without the permission of the original author. Plagiarizing others' academic achievements, such as using the words or concepts on others' materials as his/her own publication. Deliberately omitting the facts of citing others' results, causing people to mistake them for his/her new discoveries and inventions, deliberately falsifying the content or making a deliberate misinterpretation out of context when citing.



- Using others' important academic understandings, assumptions, doctrines, or research plans against professional ethics, including: obtaining above information through peer review or other methods without permission; publishing or disclosing such information to third parties without authorization; stealing others' research plans and academic ideas.
- Scientific misconducts in the publication of research results, including: submitting the same research results to multiple publishing agencies for publication or multiple publications; revising the research results that are essentially the same for publication; publishing the research results based on the same datasets or subsets in multiple works unless there is a close successive relation between the works.
- Deliberately interfering with or obstructing others' research activities, including deliberately damaging, occupying or withholding the necessary equipment, documentation, data, software or other research-related items in their research activities.
- Violating social ethics during scientific research activities, including swindling scientific research resources such as funds, equipment and other supportive conditions; abusing scientific research resources to seek improper benefits, and seriously wasting scientific research resources; in personal resumes, fund application forms, job application forms and public statements, deliberately including inaccurate or misleading information and deliberately concealing important information.
- The following conducts shall not be identified as scientific misconducts: unintentional errors or deficiencies in the research plan and implementation process, wrong explanations and judgment of evaluation methods or results, errors and mistakes caused by limitations in

research level and ability and errors irrelevant to scientific research activities, etc.

### 03. Punishment for academic misconducts

#### ***Measures for the Prevention and Punishment of Academic Misconduct in Tsinghua University***

According to the *Measures for the Prevention and Punishment of Academic Misconduct in Tsinghua University*, the University will deal with those engaged in academic misconducts according to the conclusions by the Academic Atmosphere Team of the Academic Committee of the University or the Director Meeting of the Academic Committee of the University and in light of the nature of the conduct and the severity of the case:

- A publicly circulated notice of criticism;
- Terminating or revoking relevant scientific research projects and canceling the application qualification within a certain period of time;
- Revoking academic awards or honorary titles;
- Dismissal;
- Other measures prescribed by laws, regulations and rules.

Meanwhile, warnings, demerit recording, demotion, dismissal, expulsion, etc. will apply in accordance with the relevant provisions.

If those engaged in academic misconducts have obtained scientific research projects, academic awards or honorary titles from relevant departments or institutions, the University will make recommendations to the relevant competent authorities according to the relevant conditions.

If students are found guilty of academic misconducts, they will be subject to the corresponding disciplinary sanctions in

accordance with relevant regulations of student management.

If the academic misconduct is directly related to obtaining the degree, the degree-conferring organization shall suspend the conferment process, withhold the degree or revoke the degree according to law.

***Rules for the Implementation of the Regulations on Disciplinary Sanctions for Misconduct of Students of Tsinghua University***

Article 19 A demerit recording or a more severe sanction will be imposed in case the Academic Committee of the University confirms any of the following academic misconduct:

1. Plagiarism or claiming credit for the research;
2. Making unauthorized changes to the research findings;
3. Fabricating research data, materials, references, notes, facts or research findings;
4. Claiming credit for research or papers that are not one's own, giving improper credit to others without their permission, claiming joint credit for oneself and one or more partners who do not

exist, or withholding full credit from others for their contributions to any joint work or research;

5. Presenting false academic information when proposing research projects, declaring findings, or applying for awards or degrees;

6. Buying or selling non-dissertation papers, having others ghostwrite such papers or ghostwriting such papers for others; or

7. Any other forms of academic misconduct. Academic probation or a more severe sanction will be imposed for plagiarism, falsification, fabrication, etc. in dissertation or publicly available research findings.

Article 20 Any student who is engaged in any of the following misconduct shall be expelled from the University after verification by the Academic Committee of the University:

1. Serious plagiarism, falsification, fabrication, etc. in dissertation or publicly-available research findings; or
2. Ghostwriting dissertation for others or having others ghostwrite dissertation, buying or selling dissertation.





## Analysis of Academic Misconducts

### Plagiarism

"Piaoqi" (plagiarism) means stealing others' works and pretending their academic views, thoughts, words and results are your original results in scientific research activities.

"Chaoxi" (also plagiarism) means taking others' works or statements as your own, deliberately taking all or part of others' academic achievements that have been published or not published as your own research results for publication without indicating the source, or using the contents of others' works in your own works by means of translation or paraphrasing without any indication.

Although "Piaoqi" and "Chaoxi" are two different concepts in Chinese, they are the same in English – "plagiarism". For the sake of brevity, the following contents will not distinguish between "Piaoqi" and "Chaoxi".

#### 01. Types of plagiarism

The Discipline Construction Committee of the Science and Technology Committee of the Ministry of Education points out that plagiarism includes the following eight situations:

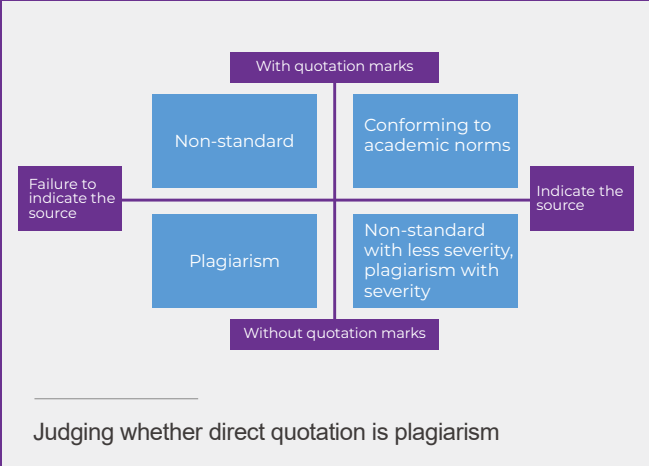
1. Copying the arguments, opinions and conclusions in others' works protected by copyright without listing them in the reference literature (plagiarism of views).
2. Stealing investigation and experimental data and charts from others' research results (plagiarism of data).
3. Stealing original concept definition, method,



- principle, formula, etc. from others' works protected by copyright (plagiarism of concepts).
- 4. Copying sentences from others' articles directly into their own articles without indicating the source clearly (plagiarism of sentences).
- 5. Copying the entire paragraph or making slight alteration (plagiarism of paragraphs).
- 6. Directly copying others' articles (plagiarism of full text).
- 7. Combining others' results without indication in the references (plagiarism of combination).
- 8. Copying or using part of the expressions in one's own published articles without indication in the reference (self-plagiarism).

## 02. Plagiarism and citation

For direct quotations, plagiarism mainly includes two "elements" : one is failure to indicate the source of cited literature or other sources; the other is is the absence of quotation marks for the quoted sentences, or any other similar processing, such as using colons, changing format and fonts, etc., to clearly distinguish others' words from their own. You can refer to the following figure for specific judgment:



According to the specific requirements of China's academic norms, the above figure can be summarized as:

- Indicating the source and using quotation marks:conforming to academic norms. However, if the source is indicated but the quoted contents are too many, exceeding a certain proportion of the paper, it may also constitute academic misconducts (e.g. excessive citation).
- Indicating the source but failing to use quotation marks: non-standard conducts or plagiarism. Citations must be controlled within a certain number of words and properly rewritten.
- Using quotation marks but failing to indicate the source: non-standard conducts or plagiarism.This is a gray area of plagiarism. Everyone shall try to avoid such practice and pay attention to the length of citations to avoid plagiarism.
- Failing to indicate the source or use quotation marks: plagiarism. The eight types of plagiarism listed in the *Guidance on Academic Norms of Science and Technology for Universities* belong to this quadrant.

The above discussion is about direct quotations. For non-direct quotations, as long as the source is indicated and the original text is correctly rewritten, it shall be deemed as complying with academic norms. Universities and institutions around the world have their own demonstrations of standard rewriting.



## Falsification and fabrication

---

Falsification means using false means to alter or misinterpret (theory, policy, etc.). In the academic field, it refers to falsification of data, theory, etc. in the research process.

Fabrication means making up non-existing things for the sake of interests. In the academic field, it usually refers to fabrication of data and results in research.

## Multiple submissions and repeated publications of one paper

---

Multiple submissions of one paper means that an author attempts to publish or has already published papers with the same or similar contents on two or more journals simultaneously or sequentially without informing the journal editors and reviewers during the statutory or agreed period of re-submission, or knowing that his/her work will be or has been published beyond the period.

Repeated publications mean that there exists the repetition of the content of papers (such as hypotheses, methods, samples, data, icons, papers, conclusions, etc.) with insufficient cross-reference or indication between the papers when the author submits papers to different publications.

## Academic paper selling or ghostwriting

---

The trading behavior of ghostwriter writing papers for college students or adults, including technical, undergraduate, master, doctoral graduation dissertation and title papers, and commercial ghostwriting and publication paper organizations selling the papers written by ghostwriters on the platform. In July 2018, the Ministry of Education launched a severe crackdown on the sale and ghostwriting of dissertations. Students who participate in the purchase and ghostwriting of dissertations shall be expelled from the universities and their diplomas shall be revoked and canceled according to law.

## Presenting false academic information

---

False academic information include false proof of papers, false academic achievements and honors, forgery or alteration of recommendation letters, review opinions, report cards and other personal academic certificates, as well as deliberately exaggerating or degrading the value of academic results when proposing research projects, declaring findings, or applying for awards, titles or degrees.

## Improper authorship

---

Improper authorship means that the author's authorship and ranking do not conform to his actual contribution to the paper or the author's information is falsified. It includes the following:

1. Excluding those who have made substantial contributions to the research involved in the paper from the list of authors;
2. Including those who have not made any

substantial contribution to the research involved in the paper into the list of authors;

3. including others' names in the list of authors without others' consent;

4. Falsifying the author's title, unit, education, research experience and other information;

5. The authors' ranking does not match their actual contributions to the paper.

## Abuse of academic power and credit

Academic power: referring to the power that scholars and academic organizations have and can control. Scholars and academic organizations are the subjects of academic power. Academic power is a relative power obtained from the working of intrinsic factors of individuals or organizations.

Abuse of academic rights and credit: deliberately exaggerating or degrading the value of results in

academic activities; unauthorized publication of research results that should have been subject to but without the authentication from academic peer review or relevant institutions; seeking illegitimate interests for his/her own or organization by taking advantage of his/her position, academic status, academic review power.

## Experimental violations—

Experimental violations include violations of national safety regulations on the management of hazardous chemicals and radioactive substances; violations of current national laws, regulations, and ethical requirements in research involving humans and infringement of the legitimate rights, personal privacy or rights of knowing and consent of the subject.



# Regulations on the Scientific Ethics of Postgraduate Students of Tsinghua University

A nation's prosperity needs virtue. It is indispensable to the success of an individual. The scientific ethics of postgraduate students are ethical regulations and norms which they should abide by during their scientific research, both in mind and in behavior, which not only reflect their professional ethics but also comprise an important part of their overall character. To reinforce ethical education, with scientific ethics at its core, Tsinghua University has put forward the scientific, ethical regulations and norms as follows:

1. Upholding the spirit of assiduous study, seeking truth, perseverance, and professionalism; striving to achieve further developments in science, technology and the revitalization of domestic industries.
2. Advocating innovative awareness through adventurous exploration and pioneering practice; within a just, flexible and free academic environment, striving to master the advanced scientific technology from home and abroad to creatively undertake scientific research and academic activities.
3. Upholding the scientific research spirit of being strict, objective and practical. Respect the achievements made by others and opposing plagiarism. Fabrication of experimental data and exam scores is forbidden. Cheating on exams or engaging in any form of dishonest behavior is forbidden. The order of authors names in papers should reflect their corresponding contributions,

any duplicate or multiple submissions of papers are forbidden; the intellectual property right of Tsinghua University should be protected, and any illegal transfer of technological results is forbidden.

4. Cultivating an ideology of respecting others, mutual assistance, unity, and cooperation; developing good relationships between individuals and the community and between students and mentors to create a harmonious and fair scientific research environment.

As a postgraduate student of Tsinghua University, you should understand and practice these regulations when engaging in your study, research and academic activities in Tsinghua. You must also strictly abide by school rules and regulations. Anyone whose behavior violates scientific ethics or the spirit of academic truth may not seek exemption from punishment with the excuse of not knowing these regulations or other Tsinghua school rules. Any postgraduate student committing serious violations will be punished accordingly.

Should you have any question regarding these regulations, you may seek consultation from your supervisors or the postgraduate student management department at any time.