

Working Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Scientific Research Ethics Committee

Chapter 1 General

Article 1 To carry forward the scientific spirit, strengthen the construction of scientific research ethics and study style, completely eradicate scientific research misconducts, create an upright scientific research ecology of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), and ensure the healthy and sustainable development of the scientific and technological innovation of the "SIAT", according to the *Opinions on Further Strengthen Credit Construction in Scientific Research* (T ZI [2018] No. 23), issued by the General Affairs Office of the CPC Central Committee and the General Affairs Office of the State Council, the *Opinions of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Strengthen Construction of Code of Conduct in Scientific Research*, the *Opinions on Further Carrying Forward Spirit of Scientists and Strengthening Construction of Style and Study Style* (ZBF [2019] No. 35), the these Measures are hereby formulated.

Article 2 Sciences on Scientific Research Ethics Committee is an affiliated institution that manages the construction of scientific research integrity, scientific and technological ethics, bio-safety, and academic style of the whole institute, working under the guide of the Academic Committee Meeting and directly reporting to the president. Its responsibilities are to construct the ethics in scientific research and create a responsible atmosphere for scientific research; guide and regulate the scientific research activities of affiliated units of the SIAT; investigate and deal with scientific misconduct cases; complete the work entrusted by the Director Office Meeting and the Academic Committee Meeting of the SIAT.

Article 3 Main objectives of these Measures.

(1) Perfect the system of integrity and study style. Develop a scientific and standardized institution for scientific research integrity and study style, operate a working mechanism of constructing a scientific research integrity and study style with clear responsibilities, orderly coordination, effective supervision, and extensive participation, and also establish a scientific research ethics system with comprehensive coverage, sharing & linkage, and dynamic management.

(2) Enhance awareness of integrity. Carry forward the scientific spirit, abide by integrity code, curb scientific misconducts and dishonesty, and enhance the scientific moral quality and scientific research integrity awareness of faculty and students.

(3) Create a sound academic context. Effectively maintain the seriousness of science and shape a sound context conducive to independent innovation and the sound development of science and technology.

Chapter 2 Constitution

Article 4 The Scientific Research Ethics Committee has 1 head, served by the director; 2 -3 deputy head, served by the deputy director in charge of scientific research and education, and the Secretary of Discipline Inspection Commission; several members, served by related principals from all institutes and functional departments; the Secretariat Department is under the jurisdiction of the Department of Science & Technology Development whose responsibility is to deal with daily routines of the Scientific Research Ethics Committee.

Article 5 The Scientific Research Ethics Committee implement tenure system in principle, with a term of five years, which is generally synchronized with the administrative leadership team and implements head responsibility system.

Article 6 Members of the Scientific Research Ethics Committee who meet one of the follows will be revoked after review and approval by the Director Office Meeting:

- (1) The member himself/herself has applied in writing to resign as a member and has been approved by the head;
- (2) He/she cannot continuously serve as the member due to work adjustment;
- (3) Violate the relevant regulations of these working measures.

The vacancy of the committee arising from the above reasons may be replaced as per Article 5.

Chapter 3 Working Responsibilities

Article 7 The Scientific Research Ethics Committee guides the construction of scientific research ethics and academic style by perfecting the organization structure, improving the institution and code, straightening out working mechanism, and enhancing the integrity review. It should adopt measures such as transfer supervision, education and training, and classification review to stimulate the enthusiasm of the Secretariat Department, affiliated units of the SIAT, and review experts, cultivate a culture of integrity in scientific research, and create an upright scientific research ecosystem.

Article 8 The SIAT is the first responsible subject of scientific research integrity, ethical management of science and technology and construction of study style, and the principals of all institutes are the responsible subjects of the corresponding institutes. The Scientific Research Ethics Committee may set up a number of specialized sub-committees to meet the needs of special business management such as scientific research integrity, science and technology ethics, bio-safety, and study style construction, and the specialized sub-committees should submit their annual summary report to the Scientific Research Ethics Committee every December.

(1) The Scientific Research Ethics Committee has an expert group on integrity and governance that is responsible for assisting the Scientific Research Ethics Committee to conduct academic review and handling to all received cases and reporting matters in dispute over misconducts to the Academic Committee Meeting for re-review.

(2) The Scientific Research Ethics Committee has a Human Experimentation Ethics Review Sub-Committee that is responsible for conducting an independent, fair and impartial review of the scientific and ethical reasonableness of all biomedical research involving the human body conducted in the SIAT.

(3) The Scientific Research Ethics Committee has an Institutional Animal Care and Use Sub-Committee (IACUC) that is responsible for the decision-making on the construction and operation planning of animal facilities in the SIAT, the ethical review and process supervision of all animal use protocol to introduce animals to the SIAT and carry out animal experiments in the SIAT.

(4) The Scientific Research Ethics Committee has a Bio-safety Management Sub-Committee that is responsible for establishing, approving and issuing bio- safety management system documents, as well as the bio-safety risk assessment , supervision and inspection of pathogenic microorganism experimental activities in the SIAT.

Article 9 The Department of Science & Technology Development is responsible for the Secretariat Department of the Research Ethics Committee of SIAT, including coordinating and organizing the implementation and work summary of the construction of scientific research ethics and study style of the SIAT, formulating and issuing relevant systems, responsible for the review and management of scientific research integrity of scientific research projects, and the daily routines of the Secretariat Department of the Committee in expert group of integrity governance, the ethical review of human experiments.

Article 10 The Department of Supervision and Audit is responsible for the registration, transfer and supervision of petition letters of scientific research ethics, supervise the handling of scientific research integrity cases, and participate in the review of major matters, file and report necessary matters.

Article 11 The Department of Human Resources is responsible for the ethical review of scientific research personnel in terms of recruitment and promotion, and participates in the review of scientific research integrity cases involving personnel punishment.

Article 12 The Department of Education is comprehensively responsible for the construction of study style, including developing systems, organizing education, publicity and learning activities, urging faculty and students to abide by the scientific research ethics, the norms of scientific research activities and practice the requirements of scientific research integrity.

Article13 Department of Public Service Platform for Science and Technology is responsible for the daily routines of IACUC and the Bio-safety Management Sub-Committee.

Chapter 4 Conference System

Article 14 The Scientific Research Ethics Committee implements regular meeting system to hold the plenary meeting at least once every year. An interim meeting may be convened on the proposal of the head or more than 1/3 of the members. The plenary meeting of the Academic Committee is convened and held by the head who can entrust the deputy head to hold the meeting on behalf of him/her in case of his/her absence due to some reasons.

Article 15 The plenary meeting should determine the agenda in advance and inform the members attending the meeting. Additional agenda can be inserted with the consent of more than 1/3 of the members. The plenary meeting should be held in the presence of more than 2/3 (inclusive) of the members, and the resolutions should be approved by more than 2/3 (inclusive) of the members attending the meeting.

Article 16 Voting on matters should be conducted by secret or open ballot as the case maybe. General matters will not be passed until more than 1/3 (inclusive) of the members attend the meeting through email or teleconference and 1/2 among which make approval, while that of material matters require approval by more than 2/3 (inclusive) participants.

Article 17 Members of the Scientific Research Ethics Committee should attend the meeting on time. In case of absence due to special reasons, they should ask the head for leave and report it to the Secretariat Department. Members who cannot attend the meeting should not entrust other members to vote on behalf of him/her.

Article 18 Members of the Scientific Research Ethics Committee should stringently abide by the confidentiality discipline, and the avoidance system to the relevant matters involving themselves, their relatives or their interests.

Article 19 The resolutions of the plenary meeting, except for the official minutes of the meeting, should be uniformly brought out by the Director Office Meeting and relevant functional departments.

Article 20 The office expenses of the Scientific Research Ethics Committee are included in the budget arrangement of the SIAT.

Chapter 5 Bylaw

Article 21 These Working Measures are interpreted by the Scientific Research Ethics Committee.

Article 22 These Working Measures should be implemented from the date of promulgation. The original *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Strengthening the Construction of Ethics and Study Style in Scientific Research* (SYK ZI [2014] No. 4) should be repealed simultaneously.