

No.: 4233/QĐ-ĐHKT-NCPTGKTC

Ho Chi Minh City, October 21st, 2024

DECISION

Issuing the regulation on academic integrity in scientific and technological activities at the University of Economics Ho Chi Minh City

PRESIDENT OF THE UNIVERSITY OF ECONOMICS HO CHI MINH CITY

Pursuant to the Law on Higher Education dated June 18, 2012, and the Law amending and supplementing a number of provisions of the Law on Higher Education dated November 19, 2018;

Pursuant to Decree No. 99/2019/NĐ-CP dated December 30, 2019, of the Government, detailing and guiding the implementation of a number of provisions of the Law on Higher Education;

Pursuant to Decree No. 40/2014/NĐ-CP dated May 12, 2014, of the Government, on the employment and promotion of individuals engaged in scientific and technological activities;

Pursuant to Decree No. 27/2020/NĐ-CP dated March 1, 2020, of the Government, amending and supplementing a number of provisions of Decree No. 40/2014/NĐ-CP;

Pursuant to Decree No. 109/2022/NĐ-CP dated December 30, 2022, of the Government, on scientific and technological activities in higher education institutions;

Pursuant to Decision No. 1146/QĐ-TTg dated October 4, 2023, of the Prime Minister, regarding the conversion of the University of Economics Ho Chi Minh City into the University of Economics Ho Chi Minh City;

Pursuant to Resolution No. 30/NQ-ĐHKT-HĐĐH dated November 10, 2023, of the University Council of the University of Economics Ho Chi Minh City, on the issuance of the Organization and Operation Regulations of the University of Economics Ho Chi Minh City;

Pursuant to Regulation No. 3145/QyĐ-ĐHKT-QLKHHTQT dated November 25, 2019, on the rules of integrity in scientific research at the University of Economics Ho Chi Minh City in 2019;

Pursuant to Regulation No. 1884/QyĐ-ĐHKT-QLKHHTQT dated July 30, 2021, on the code of conduct for scientific integrity at the University of Economics Ho Chi Minh City;

At the request of the leaders of the Department of Research - Development and Global Engagement.

DECIDES:

Article 1. To issue the Regulation on Academic Integrity in Scientific and Technological Activities at the University of Economics Ho Chi Minh City.

Article 2. This Decision is effective from the date of signing.

Article 3. Head of the Department of Research - Development and Global Engagement, relevant units, and individuals are responsible for the implementation of this Decision./.

Recipients:

- As per Article 3;
- UEH Portal;
- Archives: VT, NCPTGKTC.

PRESIDENT

Prof. Dr. Su Dinh Thanh

REGULATION

On academic integrity in scientific and technological activities at the University of Economics Ho Chi Minh City

*(Attached to Decision No. 4233/QĐ-ĐHKT-NCPTGKTC, dated October 21st, 2024, by the
President of the University of Economics Ho Chi Minh City)*

Chapter I

GENERAL PROVISIONS

Article 1. Scope and regulated entities

1. This Regulation applies to all UEH researchers, including UEH staff, UEH students, researchers, and research experts contracted with UEH, as well as individuals engaged in scientific and technological activities led or funded by UEH, and other related individuals.

2. This Regulation also applies to all research projects conducted by UEH researchers, covering all stages from the conceptualization of research ideas, design, implementation, reporting, and publication of results as scientific papers, to knowledge transfer and related issues post-research activities. These regulations also encompass compliance with research rules, supervision, evaluation, and peer review, or other scientific and technological activities.

Article 2. Purposes

1. To create and develop a standard and integrity-based research environment and culture at UEH.

2. To raise awareness and ensure compliance with UEH's regulations and international practices regarding academic integrity in scientific and technological activities.

3. To enhance individual and collective responsibility among UEH researchers in conducting scientific research, contributing to the protection and promotion of UEH's academic reputation.

4. To establish a legal framework and procedures for handling violations of academic integrity in scientific and technological activities at UEH.

5. To complete and effectively implement mechanisms for monitoring and ensuring compliance with academic integrity rules in scientific and technological activities at UEH.

Article 3. Terminology interpretation

In this Regulation, the following terms are understood as follows:

1. *Research ethics* refers to compliance with all ethical requirements when conducting any research involving humans, animals, or activities affecting the environment. Human research subjects include those providing data for research in various forms, such as surveys, interviews, focus groups, or experiments. Animal research requires strict adherence to regulations regarding animal welfare, ensuring responsible and reasonable use of animals in research only when no alternative options are available. Research impacting the environment must comply with environmental protection principles, ensuring that research activities do not harm ecosystems, and always include measures to minimize negative environmental impacts.

2. *Academic integrity in scientific and technological activities* refers to honesty, transparency, and accountability throughout all processes and activities related to science and technology within academic or research institutions. This includes aspects such as publication of research results, peer review, protection of intellectual property rights, honesty in reporting research outcomes, and applies to all individuals involved in scientific and technological activities, including researchers, faculty, students, and research administrators.

3. *Responsible research* involves conducting scientific research with integrity, which includes understanding and applying established integrity rules in all activities related to science and technology.

4. *Conflict of interest* refers to conflicts of interest between individuals or organizations that may influence compliance with research integrity rules. Conflicts of interest may compromise the research process and lead to violations of these regulations.

5. *Responsible peer review* involves impartial and independent evaluation of research products by specialists working in the same or related fields. Peer review activities include participation in review panels for research products, peer review of proposals for scientific and technological tasks at various levels, peer review of funding applications, peer review of research manuscripts submitted to journals or conferences, and evaluation of other scientific outputs.

6. *Authorship rights* refer to the copyrights of individual or group authors for scientific products. Authorship rights protect scientific products from copyright violations.

7. *Research data and materials* encompass all data and materials (including processed data, drafts, reports, etc.) generated from scientific and technological research.

Article 4. Perspective on academic integrity practices in scientific and technological activities

1. Academic integrity in scientific and technological activities is related to the qualities and ethics of scientists, requiring, above all, individual awareness and voluntary compliance.

2. Preventing violations of academic integrity in scientific and technological activities is more important than addressing them. Therefore, regularly raising awareness about academic integrity in these activities is a primary responsibility.

3. When violations of academic integrity rules occur, as outlined in this Regulation, appropriate measures must be taken, while respecting individuals and adhering to UEH's cultural standards.

4. UEH staff and students are responsible for monitoring and detecting violations of academic integrity in scientific and technological activities at UEH.

Chapter II

PRINCIPLES OF ACADEMIC INTEGRITY IN SCIENTIFIC AND TECHNOLOGICAL ACTIVITIES AT UEH

Article 5. Principles of academic integrity in scientific and technological activities

1. Principle 1: HONESTY in research:

UEH researchers must present information truthfully and accurately during the research process and reporting. Specifically:

a) Researchers must not fabricate data, falsify or misrepresent research results, distort, conceal, or create misleading or fabricated information, commit plagiarism, or mislead in any form (written, electronic/online media, or other forms of communication).

b) Researchers must ensure honesty and strictly adhere to current practices and standards in their field of research, including objectives, content, methods, and research practices, to ensure the reliability and value of the research outcomes.

c) Researchers must provide relevant evidence when requested by the competent authorities.

2. Principle 2: RIGOR in research

UEH researchers must carry out their research with care, thoroughness, and the utmost seriousness at all stages of the research process, including proposal, design, implementation, reporting, and publication of research results, avoiding biased conclusions.

3. Principle 3: TRANSPARENCY about conflicts of interest and the entire research process

UEH researchers must:

a) Present the research process, methodology, data collection, and analysis methods, as well as research results clearly and in accordance with common practices and standards in their field.

b) Disclose any potential conflicts of interest (if any) related to the research in scientific publications.

4. Principle 4: FAIRNESS in research

UEH researchers must:

a) Treat research colleagues, collaborators, and stakeholders fairly.

b) Fully and honestly reference and cite the scientific results of other authors when using their work.

c) Properly acknowledge, including authorship rights, for individuals who have significantly contributed to the research. Authorship should be based on the following four criteria: (1) Significant contribution to the research idea or design, or involvement in data collection, analysis, and interpretation; (2) Participation in writing or revising the manuscript substantially, not just correcting typographical, spelling, grammar, or formatting errors; (3) Reviewing and agreeing with the final version of the manuscript, ensuring that the article accurately reflects the research results without any misrepresentation; and (4) Responsibility for the entire research content, ensuring accuracy and integrity, and being prepared to address and be accountable for any issues arising from the research.

d) Do not include as authors individuals who did not participate or contribute to the scientific work. Individuals who only provided financial support, collected data, or gave general guidance are not eligible for authorship but may be acknowledged in the Acknowledgments section of the paper.

e) When evaluating scientific work, research projects, or funding proposals, reviewers must provide fair and impartial comments based on the scientific quality of the work, project, or

proposal, without being influenced by personal bias, status, gender, nationality, or other irrelevant factors.

f) Reviewers must not disclose information about the research or use information obtained during the review process for personal gain or to benefit their organization.

g) If a reviewer has personal, financial, or professional relationships with the author or research, they should decline participation in the review process to ensure fairness and objectivity.

5. Principle 5: RESPECT for research subjects, the general community, and the environment in research

UEH researchers must:

a) Treat research participants and communities with respect, carefully considering the impacts of research on vulnerable or marginalized groups.

b) Engage with the research community before conducting the research to allow participants to make an informed decision about their involvement. Researchers should also communicate the research results to participants if pre-agreed.

c) Minimize the negative impacts of research on communities and the environment.

6. Principle 6: ACCOUNTABILITY in research

UEH researchers must:

a) Comply with laws, regulations, policies, and guidelines related to scientific and technological activities, and be ready to take responsibility when required.

b) Ensure the effective management and use of UEH resources during the research process.

c) Be accountable for the outcomes and consequences of the research they conduct.

7. Principle 7: PROMOTING responsible research

UEH researchers must comply with and strive to create a responsible research environment and culture.

Chapter III

RESPONSIBILITIES OF UEH RESEARCHERS

Article 6. Responsibilities of UEH researchers

UEH researchers have the following responsibilities:

1. Responsibility 1: Supporting the creation and development of a responsible research environment at UEH.

UEH researchers must contribute to building a responsible research environment at UEH and within their field of research.

2. Responsibility 2: Supervising and guiding the conduct of responsible research.

UEH researchers must:

a) Guide and advise colleagues or learners (students, graduate students, and doctoral candidates) they are supervising on conducting responsible research and make reasonable efforts to oversee their behavior.

b) Comply with UEH's current regulations on undergraduate and postgraduate research supervision.

3. Responsibility 3: Promoting responsible research.

UEH researchers must:

a) Conduct responsible research.

b) Actively participate in training and professional development related to responsible research practices.

c) Guide other researchers in conducting responsible research.

4. Responsibility 4: Fulfilling legal and related obligations in conducting responsible research.

UEH researchers must:

a) Adhere to the regulations, professional standards, and academic integrity rules in scientific and technological activities at UEH.

b) Comply with codes of conduct, laws, and international practices when conducting research abroad.

c) Follow laws and regulations related to the specific field or research they are conducting.

d) Ensure proper approvals (if necessary) before conducting research and comply with the approved requirements throughout the research process and when reporting results.

5. Responsibility 5: Compliance with research ethics involving human subjects

UEH researchers must:

a) Uphold integrity in scientific research, fairness in the use of human resources, and respect for research participants.

b) Ensure necessary approvals (if applicable) are obtained before collecting primary data involving human subjects.

c) Comply with research ethics regulations related to human subjects.

6. Responsibility 6: Using appropriate research methods

UEH researchers must use scientific research methods appropriate to the research topic and ensure that conclusions are based on actual results.

7. Responsibility 7: Maintaining research records

UEH researchers must clearly, accurately, securely, and fully maintain research records, including data and documents, and make them accessible to relevant parties and authorities when necessary.

8. Responsibility 8: Publishing research responsibly, accurately, and transparently

UEH researchers must publish research results responsibly, accurately, and transparently.

They must:

- a) Comply with regulations on publishing and authorship.
- b) Engage in responsible peer review.
- c) Adhere to intellectual property management regulations.
- d) Follow open-access regulations for scientific research outputs.

9. Responsibility 9: Addressing conflicts of interest appropriately

UEH researchers must:

- a) Report and appropriately resolve any conflicts of interest that arise in connection with their research.
- b) Follow regulations for handling conflicts of interest in scientific research.

10. Responsibility 10: Compliance with publishing and authorship regulations

UEH researchers must:

- a) Ensure that all research results are owned by the authors who conducted the research. The authors of the research results must be individuals who have made intellectual and academic contributions to the research and agree to be listed as authors of the research output.
- b) Appropriately cite other research in accordance with international practices and obtain permission before using unpublished research results from others.
- c) Clearly acknowledge the contributions of experts, organizations, and funding entities in the research output.

11. Responsibility 11: Engaging in responsible peer review

UEH researchers involved in peer review must:

- a) Review fairly, rigorously, timely, and confidentially.
- b) Conduct reviews with the highest level of responsibility and academic effort.

12. Responsibility 12: Reporting suspected violations of academic integrity in scientific and technological activities

UEH researchers must promptly report suspected violations of academic integrity in scientific and technological activities at UEH to the appropriate authorities for investigation and resolution according to current regulations.

Chapter IV

UEH ACADEMIC INTEGRITY COUNCIL

Article 7. Functions and organization of the UEH Academic Integrity Council

1. Functions of the Academic Integrity Council:

The UEH Academic Integrity Council serves as an advisory body to the President of UEH, providing counsel on the development and implementation of regulations and procedures related to academic integrity in scientific and technological activities. The Council also reviews and evaluates the severity of academic integrity violations and recommends appropriate disciplinary actions.

2. Organization of the Academic Integrity Council:

The UEH Academic Integrity Council consists of 15 to 19 members, including a Chairperson, a Secretary, and other council members. The Chairperson of the Council is the President of UEH. The Secretary of the Council is the Head of the Department of Research - Development and Global Engagement. Members include UEH leadership, leaders of member schools/branches, departments, faculties, institutes involved in scientific and technological activities, the Editor-in-Chief of the Journal of Asian Business and Economic Studies, and several prominent scientists. All members of the Academic Integrity Council at UEH must adhere to academic integrity, have no history of research misconduct or violations of integrity rules, possess high professional qualifications and research experience, and commit to transparency and objectivity in all research activities. Members must also maintain professional ethics and be accountable for decisions related to ensuring integrity in scientific and technological activities at UEH.

3. Formation and reorganization of the Council:

The UEH Academic Integrity Council is formed or reorganized by a Decision of the President of UEH, based on the proposal from the Head of the Department of Research - Development and Global Engagement.

Article 8. Working principles of the UEH Academic Integrity Council

1. Convening and participating in meetings:

Based on the need to address specific academic integrity issues, the Chairperson of the Council convenes meetings of the entire Council. A meeting is only valid if at least two-thirds of the members, including the Chairperson and the Secretary, are present. The Chairperson may invite additional leaders of relevant specialized units or experts from within and outside UEH, who are involved in the scientific and technological activities under review, to participate in the meeting.

2. Working and decision-making principles:

The Council operates on a collective, discussion-based, and consensus-driven approach. A decision is only passed when at least half of the Council members agree through voting or resolution. The Chairperson will issue a formal notice of the meeting's conclusions.

Chapter V

IMPLEMENTATION ORGANIZATION

Article 9. Department of Research - Development and Global Engagement

1. Develop regulatory documents and provide guidance to individuals and units on the implementation of this Regulation.

2. Research, advise, and submit to the President of UEH proposals for updating, supplementing, and adjusting the documents and regulations guiding the implementation of this Regulation, based on practical needs and requirements.

3. Act as the focal point in coordinating with individuals and units to implement this Regulation.

4. Collect and prepare materials directly for the UEH Academic Integrity Council.

Article 10. UEH-affiliated and subordinate units involved in scientific and technological activities

1. Be responsible for disseminating the contents of this Regulation to UEH researchers within the scope of the unit's management, who are subject to this Regulation.
2. Support and guide UEH researchers within the unit's management to comply with the requirements of this Regulation.

Article 11. Department of Inspectorate

1. Collaborate with the Department of Research - Development and Global Engagement and relevant UEH units involved in scientific and technological activities to conduct post-review activities for scientific and technological products as required by management.
2. Act as the focal unit in coordinating with related units to handle complaints and disputes regarding violations of the Regulation in scientific and technological activities at UEH.
3. Report to the UEH Board of Presidents and seek handling instructions when complaints and disputes arise.

Chapter VI

PENALTIES FOR ACADEMIC INTEGRITY VIOLATIONS IN SCIENTIFIC AND TECHNOLOGICAL ACTIVITIES AT UEH

Article 12. Violations of academic integrity in scientific and technological activities

1. Plagiarism: Using ideas, data, or words of others without proper citation.
2. Self-plagiarism: Reusing one's previously published content without appropriate notice or citation.
3. Fabrication/Falsification: Creating fake data or altering, distorting research results to fit a hypothesis or personal desire.
4. Failure to appropriately recognize contributors: Not fully listing contributing authors or including individuals who did not contribute to the research as authors.
5. Misuse of funding or research resources: Using funding or resources improperly or against the rules of the funding agency.
6. Abusing position or authority: Using a professional position or authority for personal gain during research or peer review of others' work.
7. Misrepresentation of the lead organization: Incorrectly listing the lead organization or other organizations that contributed to the research.

8. Failure to disclose conflicts of interest: Not disclosing personal, financial, or other conflicts of interest that may affect the objectivity of research or peer review.

9. Impersonation: Using someone else's identity to conduct research or publish work.

10. Exploitation and unfairness in conducting research: Exploiting research subjects or participants without providing full information about their rights and responsibilities.

11. Improper research conduct: Conducting research activities that do not comply with established procedures/regulations, affecting the validity and reliability of the research results.

12. Buying or selling papers: Paying for or accepting payment for publishing a paper without actual participation in the research or writing process.

13. Other violations: Engaging in activities that lead to violations of the academic integrity principles outlined in Article 5 of this Regulation.

Article 13. Detection and reporting of violations

1. Academic integrity violations in scientific and technological activities can be detected through:

- a) Peer reviews from scientific journals, independent review boards, or acceptance committees.
- b) Inspections and audits.
- c) Complaints and reports.
- d) Technical tools such as plagiarism detection software.
- e) Reports from the scientific community via channels such as media or social networks.

2. Organizations and individuals, both inside and outside UEH, have the right to report academic integrity violations in scientific and technological activities. Reports should be submitted to the Department of Inspectorate and the Secretary of the Academic Integrity Council at UEH. The identity of the whistleblower will be kept confidential.

Article 14. Procedure for handling violations

1. Upon receiving formal information about an academic integrity violation in scientific and technological activities, the Department of Inspectorate, in coordination with the Secretary of the UEH Academic Integrity Council, shall collect all records, conduct preliminary checks and evaluations, and report to the Chairperson of the Council.

2. Based on the records and report, the Chairperson of the Council will decide whether to convene a Council meeting to review and conclude the matter. Based on the Council's findings, the President of UEH will issue a decision on how to address the violation.

Article 15. Forms of penalties for academic integrity violations in scientific and technological activities

1. Penalties for academic integrity violations in scientific and technological activities are proportional to the severity of the violation. In cases of repeat offenses, stricter penalties will be applied.

2. For violations by the principal investigator or members of the research team, the penalties may include:

a) Reminders or requests for correction.

b) Non-recognition of results or products involved in the violation.

c) Termination of ongoing research projects.

d) Revocation of previously accepted results.

e) Disqualification from serving as a principal investigator for scientific and technological tasks for 2 years from the date of the penalty decision.

f) Other disciplinary measures in accordance with the law.

3. For violations in scientific reports:

a) Reminders or requests for correction (modifications, corrections, or retractions of the publication).

b) Revocation of accepted results and withdrawal of awards or recognitions granted based on reports or publications involved in the violation.

c) Other disciplinary measures in accordance with the law.

4. For violations by members of scientific and technological committees:

a) Suspension of membership or positions in the relevant committees.

b) Disqualification from participating in similar tasks for 2 years.

c) Disqualification from consideration for awards, honors, or early salary promotions.

d) Revocation of eligibility to apply for the titles of Professor, Associate Professor, Senior Lecturer, and Principal Lecturer for a period of 3 years.

e) Other disciplinary measures in accordance with the law.

Article 16. Handling plagiarism in reports and scientific publications

1. Plagiarism will be handled according to UEH's current plagiarism regulations.
2. For external scientific publications, if plagiarism is detected and addressed by the publisher, UEH will apply corresponding penalties according to its plagiarism regulations.

Chapter VII

ENFORCEMENT PROVISIONS

Article 17. Enforcement effect

1. This Regulation applies to scientific and technological activities at UEH and is effective from the date of signing.
2. This Regulation replaces Regulation No. 1884/QyĐ-ĐHKT-QLKHHTQT dated July 30, 2021, on the code of conduct for scientific integrity at the University of Economics Ho Chi Minh City.
3. For scientific and technological activities not under UEH's management, UEH will report and communicate violations to the relevant authorities in writing.

Article 18. Review and adjustment

During implementation, if any issues or difficulties arise, units and individuals must report them to the Department of Research - Development and Global Engagement, which will compile and submit them to the President of UEH for review and appropriate adjustments.

Recipients:

- Chairman of the University Council;
- Vice Presidents of UEH;
- UEH affiliated and subordinate units;
- UEH Portal;
- Archives: VT, NCPTGKTC.

PRESIDENT

Prof. Dr. Su Dinh Thanh