CONCYTEC
CONSEJO NACIONAL DE CIENCIA, TECNOLOGÍA E INNOVACIÓN TECNOLÓGICA

National Code of the Scientific Integrity

National Council of Science, Technology and Technological Innovation

National Code of Scientific Integrity

CHAPTER I
GENERALITIES

1.1 Objective:

Establish standards of conduct, infractions and sanctions for any natural or legal person that carries out scientific research, technological development and/or technological innovation in the national territory.

1.2 Purpose:

Promote the adoption of good practices and the integrity of scientific research, technological development and/or technological innovation in the National System of Science, Technology and Technological Innovation (SINACYT).

1.3 Base Legal:

- Law 28303, Framework Law on Science, Technology and Technological Innovation.
- Law No. 28613, Law of the National Council of Science, Technology and Technological Innovation. • Law No. 30035, Law that regulates the National Digital Repository of Science, Technology and Innovation open access.
- Law No. 30220, University Law. • Law No. 30806, Law that modifies various articles of Law 28303, Framework Law on Science, Technology and Technological Innovation; and Law 28613, Law of the National Council of Science, Technology and Technological Innovation.
- Law No. 30407, Animal Protection and Welfare Law.
- Supreme Decree No. 004-2019-JUS, which approves the Single Ordered Text of Law No. 27444, Law of the General Administrative Procedure.
- Supreme Decree No. 138-2019-EF - Establish amount, criteria and conditions of the Special Bonus in favor of the Research Professor within the framework of Law No. 30220 and authorize Transfer of Items in the Public Sector Budget for the Fiscal Year 2019 in favor of various public universities.
- Supreme Decree No. 026-2014-PCM, which approves the Regulations of Organization and Functions of the National Council of Science, Technology and Technological Innovation – CONCYTEC.
- Supreme Decree No. 006-2015-PCM, which approves the Regulation of Law No. 30035, Law that regulates the open access National Digital Repository of Science, Technology and Innovation.
- Supreme Decree No. 032-2007-ED, which approves the Single Ordered Text of Law No. 28303, Law Science, Technology and Technological Innovation framework.
- Supreme Decree No. 020-2010-ED, which approves the Regulation of the Single Ordered Text of the Law No. 28303, Framework Law on Science, Technology and Technological Innovation.
- Supreme Decree No. 001-2006-ED that approves the National Plan for Science, Technology and Innovation for Competitiveness and Human Development 2006-2021.
- Supreme Decree No. 015-2016-PCM that approves the National Policy for the Development of the Science, Technology and Technological Innovation - CTI.
- Presidency Resolution No. 215-2018-CONCYTEC-P, which approves the Regulations for the Qualification, Classification and Registration of SINACYT Researchers, and its amendments approved by Presidency Resolutions No. 001-2019-CONCYTEC-P and 149- 2019-CONCYTEC-P.

1.4 Range:

This National Code of Scientific Integrity, hereinafter Code, is applicable to all members of SINACYT.

1.5 Definitions:

Financing Agency (AF-CTI): It is the institution, program or fund that grants financial subsidies to carry out science, technology and technological innovation (CTI) activities.

Scientific article: It is a research work published in a specialized journal of scientific, technological and/or innovative knowledge. The objective is to disseminate in a clear, objective and precise manner the results of research carried out on a certain area of scientific, technological and/or innovative knowledge. During the publication process, the manuscript is evaluated by external peer reviewers. Due to their nature, they can be original research articles, complete, short communication or review articles. A short communication article is characterized by presenting: unpublished result(s), controversial opinions, negative result(s) and additionally its structure obeys that of a complete article. Articles from scientific journals or books that use the name Actas or *Proceedings* (in English) or *Conference Papers* in their title are considered scientific articles with the exception of *conference abstracts ,* as long as they are original research articles. complete, short communication or review and that in its publication process the journal uses evaluation by peer reviewers.

Book chapter: It is the main division of a book, the length of the chapter varies according to the intentions and needs of the author and the specialty of the book, in this way, the length of each chapter can differ considerably from the rest and makes a contribution to knowledge and/or technology.

Scientific Integrity Committee (CIC): Established by CONCYTEC at the national level, it is responsible for the evaluation and qualification of conduct that contravenes what is regulated in this Code and proposes the respective sanction.

Intellectual honesty: You are willing to avoid deception when the opportunity presents itself in all aspects of research. Seek the truth even against one's own beliefs or ideologies.

Infraction: It is the action or omission that contravenes the provisions contained in this Code.

Preliminary investigation: Process by which investigations are initiated through various procedures (testimonies, collecting documents, among others) that aim to initiate the investigation process into possible scientific misconduct.

Scientific research: It is any original and planned study that aims to obtain new scientific and technological knowledge. Scientific research is divided into basic and applied research.

Scientific misconduct: That action or omission that transgresses the values, principles and good practices that define the integrity of scientific research and the relationships between researchers, such as those formulated in this Code. It includes providing false information in the investigation of scientific misconduct. It should not be confused with unintentional scientific or technical error or honest disagreement on scientific or technical matters.

Mentor: This is a person experienced in a specific line of research and is responsible for the guidance and supervision of researchers in the training process, based on good relationships and practices, maintaining fluid and constructive communication.

Mentoring: It is a process through which an experienced researcher or teacher supports an undergraduate or graduate student or a postdoctoral researcher to achieve their development objectives.

of a given investigation, and cultivates their skills through a series of dialogues and other learning activities.

Metadata: Standardized information related to works, processed data or monitoring statistics, which facilitate their correct identification, search and access through digital information systems.

Work: Personal and original intellectual creation, protected by Copyright legislation, capable of being disclosed or reproduced in any form known or yet to be known.

Office of Scientific Integrity (OIC): Office of the STI research institution responsible for the investigation and evaluation of scientific misconduct.

Promotion of scientific integrity: CONCYTEC is committed to guaranteeing the adequacy of activities that support the development of the values that define the integrity of scientific research
and that contribute to the massification of these values within the Peruvian scientific community.
It includes the members of SINACYT in educational, preventive actions on scientific integrity, supervision, inspection, investigation and sanction of conduct contrary to this Code.

Sherpa-Romeo: Database that compiles the copyright policies of the main technical-scientific journals in the world.

Editor's version: version of the document (pdf) after peer review, with revisions made and with a format or display of the contents according to the identity of the journal or the editorial line.

Author's final version *(post-print):* version of the document after peer review, with revisions made.

Version under review *(pre-print):* version of the document before peer review, with the contents proposed by the author.

CHAPTER II
SCIENTIFIC INTEGRITY

2.1 Principles of scientific integrity

Scientific integrity is the result of adherence to values and good practices to conduct and apply the results of scientific work. Scientific integrity is applied in the formulation, proposal and implementation phases of scientific research, the communication of results and cooperation and mentoring relationships.

All phases of scientific activity must be conducted based on the following principles:

a) **Integrity** in scientific research and management activities.
b) **Intellectual honesty** in all aspects of scientific research.
c) **Objectivity and impartiality** in labor and professional relationships. d) **Veracity, justice and responsibility** in the execution and dissemination of research results scientific.
e) **Transparency,** acting without conflict of interest, declaring and managing the conflict, whether it is economic or otherwise.

2.2 Good practices in scientific activity

The Code establishes principles that allow good practices to be carried out in STI activities in order to strengthen the country's credibility and trust in SINACYT.

Scientific activity is directly related to the formulation and conduct of research scientific, communication of results, interaction between researchers and mentoring. In this way, it is essential to take into account the following practices:

a) The production, data collection and results of scientific research must be objective and not influenced by personal, economic, financial, political or affiliation interests.
b) The members of SINACYT facilitate the free flow of scientific and technological information and maintain open communication, keeping intellectual property agreements.
c) Evaluators/reviewers of project or publication proposals review the proposals with impartiality and objectivity and declaring possible conflicts of interest.
d) Decisions to award grants and financing by CONCYTEC, the AF-CTI and the institutions that carry out STI activities are made following a rigorous process of reviewing the merits of the project proposal.

e) The report of improper conduct in scientific research is communicated without delay to the corresponding authorities regarding any well-founded suspicion of fabrication, falsification, plagiarism or other irregular practices, whether by a researcher or the STI research institution.
f) The beneficiaries of the grants from any AF-CTI in the country provide appropriate training and supervision in responsible conduct and scientific integrity to undergraduate and graduate students, graduates, postdoctoral researchers, professor-researchers and researchers, who are under their supervision. responsibility.

CONCYTEC expects researchers to strictly and actively adhere to their own ethical principles and good practices of scientific integrity. Omissive conduct that constitutes a lack of compliance with such good practices, whether intentionally or not, threatens the scientific and technological development of the country, harms research work, that of other researchers, and may harm the institutional reputation and its scientific contribution. technology to society.

2.3 Guide for carrying out scientific activities

Every STI researcher and research institution is responsible for ensuring the advancement of STI. of the country, and that its actions observe the principles and good practices established in this Code.

The researcher must aim to offer a unique and relevant contribution to the advancement of STI, and possess the scientific or technical capacity for the successful execution of the research project. scientific.

2.3.1 Presentation of projects to the AF-CTI

a) The researcher must explain and support with truthfulness, objectivity and honesty the originality, importance and viability of the project presented.

b) The researcher must resort to the procedures that he considers scientifically or technically most appropriate to achieve the expected results, taking into account the established standards and appropriate protocols for the development of scientific research.

c) The researcher must honestly and truthfully report his or her curricular data in a complete and accurate manner.

d) The researcher must declare with integrity and honesty the existence of any possible conflict of interest that may affect the reliability of the results of his or her research.
scientific.

e) The researcher, if a possible conflict of interest is identified, must evaluate whether he or she can make decisions about carrying out the project with objectivity and impartiality. Otherwise, you must refrain from conducting scientific research.

f) The researcher who is convinced that a potential conflict of interest does not harm the objectivity and impartiality of his scientific research must expressly declare it to the AF-CTI.

2.3.2 Protection of the subject of scientific research

a) Human beings: Researchers and participating institutions must ensure that research involving biological samples or any other data from human beings has a letter of approval from a Peruvian Institutional Research Ethics Committee (CIEI), accredited and registered according to current regulations, before starting CTI activities and the subjects of scientific research have given their consent before starting their participation in it. In the case of clinical trials, the provisions of the corresponding current regulations must be complied with. Not having this approval contravenes national and international standards on the protection of human beings in the development of scientific research.

b) Animals: Participating researchers and institutions must ensure the establishment and maintenance of adequate measures that ensure the proper use and care of all animals involved in their research.

c) Environment: Participating researchers and institutions must contribute to protecting the environment by ensuring that their research does not affect the ecosystem and complying with current regulations regarding authorizations for scientific research and access to genetic resources.

2.3.3 Authorship and publication of scientific research results

a) The researcher must show with integrity and truthfulness all the data, methods and results that he deems relevant to justify publication. Only for ethical or legal reasons can an exception be made from this obligation, in which case the researcher must clearly justify it in the publication.

b) Researchers must clearly indicate whether the results of the scientific research carried out were obtained in a situation of possible conflict of interest. Likewise, it
must mention all sources of direct or indirect support and financing.

c) The ideas and conclusions of a new scientific research work must be
original contributions from the researchers indicated as authors.

d) Every researcher must cite and properly reference the source or authorship of ideas or conclusions coming from other authors.

e) Researchers must expressly inform the editor of a journal or other medium if the publication they submit is identical or substantially similar to a publication previously submitted or published in another medium.

f) The contribution of each author in scientific research and publication must be expressly declared to the journal or similar, it being insufficient to declare authorship alone.

g) The responsibility for the scientific quality of scientific research lies with each of the authors of the publication. However, your responsibility may decrease according to the limits of your scientific contribution to achieve the results, which must be expressly and precisely stated in the publication.

h) All participants in a scientific research project must maintain the confidentiality of the methodology applied, the data obtained and the partial and final results until their publication. Disclosure can only be made with express authorization from all collaborating researchers on the project.

i) The researcher who comes from the business sector must respect and maintain the confidentiality of the data of a scientific research, technological development or technological innovation project of which he is a part even after the project has ended.

2.3.4 Registration, conservation and access of data

a) The data, methodology and partial results of scientific research must be recorded by researchers with honesty, objectivity and impartiality. The affiliation entity must provide the necessary mechanisms for these records, which may be physical media, such as laboratory notebooks, or digital media.

b) The records of scientific research and/or publication must be kept for a period of no less than five (05) years after the publication of the results. This period may be extended according to the conditions and characteristics of the research.
scientific. In this sense, researchers are responsible for maintaining records, which must be made available to the institution where the research was carried out.
scientific investigation.

c) The records of a scientific research work on which a scientific question has been raised must be kept until these are resolved.
completely.

d) Any scientific publication financed or carried out totally or partially using the budget, funds and/or subsidies of the State must be accessible to society through the National Digital Repository of Open Access Science, Technology and Innovation –
ALICIA, so that it can be verified, replicated or continued. Said accessibility may be limited for ethical, legal reasons or national security issues, with the corresponding justification. Unless otherwise agreed.

In the case of works (understood as scientific articles, books or book chapters as appropriate) accepted in publishing houses or publishers that allow the deposit of the version under review, the author's final version or the editor's version in open access institutional repositories , this deposit should be taken as a mandatory practice. These editorial policy permissions are collected on public consultation portals such as Sherpa-Romeo (http://sherpa.ac.uk) and on the information pages of the publishers and magazines themselves.

In the case of works accepted by publishing houses or publishers that reserve or restrict access to the complete document, these can be registered in the digital repositories of their corresponding institutions (metadata), as well as deposited in full text with the corresponding embargo period. , that is, they are public once the restriction period established by the editorial policies of the magazine or publishing house has passed.

e) It is recommended that the authors of scientific publications not contemplated in the previous item also make such publications accessible through the National Open Access Science, Technology and Innovation Digital Repository – ALICIA.

2.3.5 Peer review

a) The researcher must carry out the best evaluation of scientific merit, to the extent of his or her ability, in reviewing applications for funding or publication with honesty, objectivity and impartiality within the deadlines established by the AF-CTI or the publication medium. Differences in scientific opinions should not be taken as sufficient reasons to issue an unfavorable opinion.

b) Researchers who have grants from an AF-CTI will be obliged to cooperate with opinions and evaluations on matters of their scientific or related area when required by this AF-CTI, respecting the deadlines established by it, except in circumstances of conflict. of interest or force majeure.

c) The researcher must declare his or her possible conflict of interest to the institution that requests the evaluation before performing the review. If the conflict is recognized, the evaluating researcher must abstain and immediately report it to the institution that requested the evaluation. In case of doubt, the evaluator must immediately consult the institution that requested the evaluation.

d) The evaluating researcher must consider situations of potential conflict of interest the following cases, without limitation:

Yo. Be a mentor or collaborator in the proposal that will be evaluated at some point during the preparation or execution of the project.
ii. Have carried out regular scientific collaboration in the last three (03) years in research activities or publications with one of the researchers responsible for the proposal to be evaluated.

iii. Work in one of the institutions where scientific research is carried out, technological development or technological innovation.
iv. Have had a mentoring relationship in the last three (03) years with some of the researchers participating in the proposal that will be evaluated.
v. Have a personal, family or contractual relationship with any of the researchers responsible or collaborators of the proposal to be evaluated.
saw. Have a commercial or financial interest (for or against) the development of the proposal that is going to evaluate.
vii. Have any type of relationship with a researcher responsible for the proposal that may prejudice the objectivity and impartiality of the evaluation.

e) Both the evaluating researcher and the institution that requests the evaluation must keep the identity of the evaluator confidential, unless otherwise expressly agreed between both parties. Confidentiality can only be lifted in exceptional cases and in accordance with applicable laws.

f) Evaluating researchers must treat with confidentiality all information to which they have access for the review even after the evaluation is completed. They can not make use of said information for its own, scientific or other purposes, except by express agreement of the authors of the proposal and with the intermediation of the institution requesting the evaluation.

g) The evaluating researcher must report to the institution requesting the evaluation any scientific misconduct or ethically reprehensible procedure that you identify during the evaluation of a proposal.

2.3.6 Mentoring

a) STI research institutions must create and maintain conditions that promote mentoring and good mentoring practices, through education, policies and reasonable standards for the advancement of scientific research, while fostering a work environment loyal and honest.

b) By formally accepting the role of mentor (tutor or advisor) of a researcher in training, the mentor researcher is responsible for providing guidance, training and scientific training to his or her mentees, therefore, he or she must be sure that he or she has the scientific competencies or techniques, adequate time, interest in the scientific training of the mentee and other conditions necessary to develop mentoring. Minor faults of the mentee should always be corrected by the mentors.

c) The mentor researcher is co-responsible for the scientific, technical and ethical quality of the scientific research activities of his or her mentees and for the results, theses and publications obtained during mentoring.

d) The mentor researcher must consider in his or her work plans the participation of the mentees in education, training and orientation activities on issues of scientific integrity, as well as the frequent discussion of their scientific research topics.

e) The mentor researcher must ensure appropriate recognition and credit of the scientific contribution of the mentee and collaborating researchers as a result of the scientific research activities they direct or supervise.

f) The mentor researcher must disseminate the intellectual property regulations of the STI research institution among his mentees.

2.4 Responsibilities

2.4.1 Responsibility of STI research institutions

The institutions where scientific research is carried out share with researchers the responsibility of ensuring scientific integrity in the development of STI activities and the appropriate behavior of researchers. In this sense, institutions are responsible for promoting and adopting good scientific conduct among researchers and other actors involved in STI work, as well as for preventing, investigating and sanctioning.

scientific misconduct that occurs within its scope, as established by its internal regulations.

Every CTI research institution, public or private, must:

a) Have clearly defined policies and procedures to deal with complaints of scientific misconduct.

b) Have an office that acts as an OIC that allows you to carry out and coordinate the following actions:

Yo. Develop education and outreach programs to promote a culture of scientific integrity within the institution.

ii. Create scientific integrity mentoring and training programs and activities for mentees and researchers.

iii. Receive, investigate and evaluate complaints of scientific misconduct, as well as sanction in accordance with its internal regulations and repair scientific damages that have been caused.

iv. Inform and, if applicable, send the complaint documents to CONCYTEC.

c) Formally define the procedures for receiving complaints of scientific misconduct through the office that serves as the OIC. This Code formulates a minimum set of provisions that must be followed in the event of complaints about scientific misconduct.

d) Inform the AF-CTI and CONCYTEC of acts of scientific misconduct, as well as the decision made by the institution, once the process is concluded.

e) Institutions that fail to communicate or take actions (according to their jurisdiction) against misconduct are also subject to sanctions for negligence in the performance of duty, these cases being resolved by the CIC, in accordance with the CONCYTEC Sanctions Regulations. .

2.4.2 Responsibility of the researcher

a) Every researcher must report the occurrence of scientific misconduct to the competent body of their institution, the AF-CTI or CONCYTEC, as appropriate.

b) Every researcher must cooperate with the investigation of possible cases of scientific misconduct carried out by the researchers and/or institutions involved in the case.

c) Every researcher must avoid any act reasonably perceived as retaliation against the honest whistleblower of scientific misconduct in relation to the results or investigations of other members of the scientific community.

2.4.3 Responsibility of scientific journals

a) Every scientific journal produced in the country must include, during the evaluation processes of scientific manuscripts submitted for publication, the use of procedures for identifying scientific misconduct.

b) If the scientific journal identifies and verifies an act of scientific misconduct related to the results of scientific research submitted or published, the editors of the journal must immediately inform the institutions from which the research comes.
scientific, to the AF-CTI that subsidizes it, if applicable, to the authors of the publication and to the CIC of CONCYTEC of this occurrence.

c) If it is established that scientific misconduct may have affected the scientific value of a publication, the journal must report the fact and consider retraction of the article.

CHAPTER III
ON SCIENTIFIC CONDUCT AND SUBJECTS OF THE SANCTIONING PROCEDURE

3.1. Acts considered scientific misconduct

The acts considered as scientific misconduct include the following, but are not limited to:

3.1.1 Data fabrication

Declaration of having performed procedures that were not performed or of having obtained data and results that were not obtained.

3.1.2 Experiment destruction

Intentional elimination, whether partial or total, of the experiments, whether by third parties or by the research team itself.

3.1.3 Data falsification

Presentation of data, procedures or results of scientific research in a substantially modified, inaccurate or incomplete manner, which could interfere with the evaluation or conclusions of the scientific research work.

3.1.4 Plagiarism

Use of verbal, oral or written ideas or formulations from other people, without giving them, in a clearly expressed manner, their due credit, thus causing the perception that they are ideas or formulations of one's own authorship.

This list does not restrict any other act of scientific misconduct or questionable conduct that arises from non-compliance and evasion that violates the moral principles expected by the scientific community.

The seriousness of scientific misconduct will depend on the intent to defraud, the degree of negligence, the recurrence, and the severity of the impact of these behaviors.

3.2 Rights of the accused and the complainant

3.2.1 Impact on reputation

If no scientific misconduct is found and the researcher's reputation has been affected by the research, the institution where the complaint was presented and evaluated must carry out the
reasonable efforts to restore its reputation, after consultation with the affected party. The institution that evaluated the complaint must take the following actions:

a) Notify the final result to the people involved in the investigation.
b) Disclose the final result in the appropriate media.
c) Remove all reference to the complaint of scientific misconduct from the personnel file of the investigator.

The CTI research institution that collects the complaint must make reasonable efforts to keep confidential the complaints that are presented against the researchers for the duration of the investigation process until the respective resolution to initiate the procedure or file.

If it is determined that the complainant of scientific misconduct made a complaint contrary to good faith, the OIC, whoever acts in its place or the CIC of CONCYTEC may determine whether to initiate any action against the complainant.

3.2.2 Protection of the whistleblower and others

The institution that collects the complaint must make reasonable efforts to protect the complainant and others who collaborated in good faith with investigations into scientific misconduct.

Upon completion of the investigation, the institution that collects the complaint must take appropriate steps during the investigation, including the preliminary investigation, to prevent any retaliation against the complainant.

3.2.3 Storage and access to the file

The accused must have direct access to the file to exercise his or her right of defense.

For cases that incurred scientific misconduct and involve research funded by an AF-CTI, the latter must have access to the file if requested with restrictions according to the subject.

The investigation files for scientific misconduct must be stored for five (05) years after concluding the case for possible subsequent evaluations.

3.3 Scientific Integrity Committee (CIC) of CONCYTEC

The CIC of CONCYTEC is made up of five (05) members:

- A representative of INDECOPI.
- A representative of the Directorate of STI Policies and Programs (DPP) of CONCYTEC.
- A representative of the National Academy of Sciences.
- Two natural persons members of SINACYT registered as researchers in RENACYT in the Carlos Monge Group Levels I or II. These members are chosen by the CONCYTEC Board of Directors from two (02) shortlists proposed by the DPP.

The CIC will have a technical secretariat attached to the DPP of CONCYTEC.

The CIC's functions are:

a) Formally receive complaints and notifications of scientific misconduct sent to the CONCYTEC.

b) Evaluate allegations of scientific misconduct and protect whistleblowers. c) Propose the corresponding sanction on the scientific integrity processes presented to the CONCYTEC.

d) Ensure that the institutions' programs comply with good practices for carrying out scientific research, standards of responsible conduct and promoting good practices in mentoring.

e) Propose sanctions to institutions that cover up misconduct or retaliation against the whistleblower, investigate and resolve issues of institutional non-compliance.

CHAPTER IV
OFFENCES AND PENALTIES

4.1. Of infractions to the exercise of scientific research

Violations for the purposes of sanctions are classified as Minor (L), Serious (G) and Very Serious (MG). **See table** 1.

Infractions committed by researchers to this Code are sanctioned by the Competent Authority.

4.2 Sanctions

From the competent authority: The sanctions imposed for violations of the provisions of this Code are applied by the CIC of CONCYTEC.

Applicable sanctions: The administrative sanctions applicable to researchers for the infractions provided for in this Code **(see Table 1)** are:

- Fine (pecuniary penalty) **(see Table 2).**
- Temporary suspension of SINACYT.
- Definitive exclusion from SINACYT.

There are **mitigating factors** that can reduce the sanction, these are:

- Acknowledge the violation and assume responsibility for it.
- Avoid the consummation or perpetration of the infraction.
- Collaborate voluntarily with all research requirements that clarify the scientific misconduct.
- Rectify and compensate for the violation committed.

On the other hand, there are **aggravating factors** that are assessed when sanctioning the infraction, which are:

- Not cooperating with all the requirements and procedures of the investigation.
- Attempt or commit bribery to avoid investigation or sanctioning process.
- Committing the violation deliberately and with malicious intent.
- Hide or eliminate information or documentation that proves the violation. • Recurrence of scientific misconduct.

From the registry of sanctions: The registry of sanctions is in charge of the Directorate of Evaluation and Knowledge Management - DEGC of CONCYTEC, who consolidates the information and makes it available to the competent authorities and CTI institutions as well as the AF- corresponding CTI.

The record must include the following information, as appropriate: • The infraction committed and the sanction imposed.

• The name of the researcher or institution that committed the violation. • Recidivism. • Any other information that is relevant.
• Period of validity of the sanction.

The record generated by each sanction will be maintained permanently.

CHAPTER V
ON REPORTING, INVESTIGATION AND DECLARATION OF SCIENTIFIC MISCONDUCT

5.1 About the complaint

Scientific integrity being the object of self-regulation and self-control by the scientific community itself, any researcher or other personnel who has suspicion or knowledge of the possible appearance of scientific misconduct related to scientific research, supported or not by a specific national or AF-CTI foreigner, must inform the institution hosting the event, or directly to CONCYTEC. CONCYTEC has five (05) months to resolve said complaint, after the preliminary investigation.

5.2 About the preliminary investigation of a complaint

Upon receiving a complaint of scientific misconduct, the OIC, whichever acts in its place or the CIC of CONCYTEC, if applicable, verifies whether the accusation:

a) meets the definition of scientific misconduct, and
b) presents sufficient evidence to begin the investigation.

The preliminary investigation includes a review of the available evidence, the testimonies of the accused, the complainant and key witnesses to determine if there is sufficient evidence to begin the investigation process. At this stage it is not concluded whether or not scientific misconduct occurred or who was responsible.

The occurrence of a preliminary investigation and its findings must be expressly reported to the corresponding AF-CTI and the CIC of CONCYTEC.

The preliminary investigation process must be carried out within a period of no more than thirty (30) business days, counted from the receipt of the accusation, unless a request for an extension is justified.

The preliminary investigation must be carried out by two or more people officially appointed by the office that acts as OIC in the institution that receives the complaint. These people must be objective, have specialized knowledge required by the nature of the accusation in question, and must not have conflicts of interest with the accused as they could reasonably be perceived as detrimental to the impartiality of the evaluation.

In the event that the accusation of scientific misconduct is considered serious by the institution that receives the complaint. The preliminary investigation process must be carried out by a commission made up of at least three people, one of these must be an expert evaluator in the area of knowledge of the accused. Any accusation of fabrication, destruction of experiments, falsification, false identity or plagiarism should be considered an accusation of serious scientific misconduct.

At the end of the preliminary investigation process, whoever conducted it must present and justify the conclusions of the process in a detailed report to the office that serves as OIC in the institution.
or to the CIC, if applicable.

FINAL COMPLEMENTARY PROVISIONS

FIRST.– For cases not contemplated in this Code, what is contemplated in the regulations corresponding to the matter will be applied in a supplementary manner. Likewise, if new infractions need to be included, they will be recorded and incorporated into future updates of this Code.

SECOND.- In accordance with the provisions of the last paragraph of Article 14-A of Law 28613, Law of the National Council of Science, Technology and Technological Innovation, the sanctioning procedure will be developed in the Regulation of Infractions and Sanctions that will be approved by the CONCYTEC.

THIRD.- The rules contained in the Single Ordered Text of Law No. 27444, Law of General Administrative Procedure, approved by Supreme Decree No. 004-2019-JUS, will be applied additionally, regarding the sanctioning procedure.

Table 1. Violations

TYPE	DESCRIPTION
LIGHT	Attack good faith, biasing the interpretation of the results of scientific research.
	Include as authors of a publication people or institutions that have not contributed substantially to the design and development of the project and publication of scientific research.
	Simultaneously or repeatedly publish the same findings in scientific journals.
	Improperly use resources from subsidies for research, mobility, scholarships and other similar activities.
GRAVE	Totally or partially plagiarize ideas or documents (scientific articles, patents, books, book chapters or other documents) from other researchers or people.
	Make incorrect use of digital media to control all types of plagiarism.
	Circumventing safety regulations during the development of scientific research.
	Breach confidentiality commitments in all its forms.
	Do not express conflicts of interest that involve the institution where you work and the scientific research of others.
	Carry out acts of discrimination or abuse during the execution of scientific research or mentoring.
	Urge the personnel in charge (collaborating researchers, undergraduate or graduate mentees) to commit some of the infractions described in this Code.
	Not giving due credit in the publication to researchers, mentees and institutions that have contributed substantially to the development of scientific research.
VERY GRAVE	Falsify data, tests, methods, sources, results or discoveries to verify hypotheses or achieve the objectives of scientific research, violating the veracity of the scientific research process.
	Use materials, equipment, software or facilities of the institution where scientific research is carried out for personal benefit.
	Failure to comply with current protocols or regulations regarding authorizations, access to genetic resources or informed consent to carry out scientific research, especially when applied to humans or animals, or may affect the environment.

Table 2. Sanctions

Infraction	Sanction
MINOR OFFENSE	Temporary suspension of SINACYT for six (06) months. The first recidivism is punishable by one (01) year suspension. The second recidivism is punishable by two (02) years of suspension.
SERIOUS OFFENSE	Temporary suspension from SINACYT for two (02) years and fine. The first recidivism is punishable by three (03) years of suspension and fine. The second recidivism is punishable by five (05) years of suspension and fine. *Fine = Reference fine [Between 0.03 UIT and 0.35 UIT] x (number of repeat offenses + 1)*
VERY INFRINGEMENT GRAVE	Fine The first repeat offense is punishable by a fine. The second recidivism is punishable by permanent expulsion from SINACYT. *Fine = Reference fine [Between 0.6 UIT and 8 UIT] x (number of repeat offenses + 1)*