

夏华向教授和何华女士接受 Retraction Watch 采访

编者按：我们团队分别在 2010 年和 2015 年对在公司注册的中国生物医学科研工作者进行了问卷调查，了解他们对我国科研工作中存在的学术不端行为的看法。该研究结果于今年 3 月发表在《科学与工程伦理》(*Science and Engineering Ethics*) 杂志上，引起了多方关注^[1]。应 Retraction Watch 特邀记者 Mark Zastrow 的邀请，该文的共同通讯作者夏华向教授和何华女士接受了 Mark Zastrow 的电话采访^[2]。

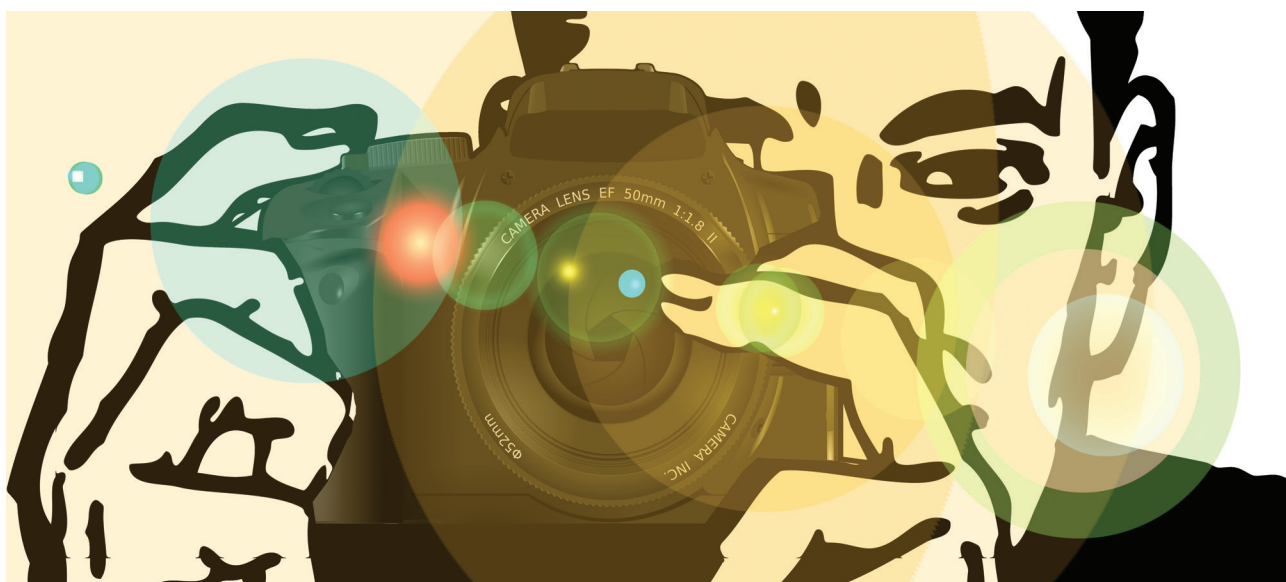
Retraction Watch 【撤稿监察】

Four in 10 biomedical papers out of China are tainted by misconduct, says new survey 【一项新的调查估计：中国每10篇生物医学类论文有4篇涉嫌学术不端】

Chinese biomedical researchers estimate that 40% of research in their country has been affected in some way by misconduct, according to a new survey. 【根据一项新的调查，中国生物医学研究人员估计中国有 40% 的研究在某种程度上受到学术不端行为的影响。】

The authors are quick to caution against putting too much stock in this figure due to the subjective nature of the survey, published in *Science and Engineering Ethics*. The estimates also spanned a wide range, with a standard deviation of $\pm 24\%$. But they say that the responses to this

question and others on the survey suggest that scientists in the region feel academic misconduct remains a major problem that authorities have failed to adequately address. (Indeed, a recent analysis from *Quartz* using Retraction Watch data showed that researchers based in China publish more papers retracted for fake peer reviews than all other countries put together.) 【此项调查结果发表在《科学与工程伦理》(*Science and Engineering Ethics*) 杂志上。由于调查类研究的主观性，同时也由于估计的范围比较广(标准差达到 $\pm 24\%$)，作者们提醒不要过于关注这个数字(40%)。但是，他们同时指出，从对问卷上的这一问题和其他问题的回复来看，生物医学研究人员认为学术不端行为依然是一个尚未被有关管理



部门足够重视的重大问题。(事实上, *Quartz* 近期通过调取撤稿监察的数据所进行的一项的研究表明, 中国的研究者因为虚假评审而遭到撤稿的论文数比其他所有国家加在一起还要多。)

The survey was designed by employees at Medjaden, a Hong Kong-based editing company that assists mainland Chinese biomedical researchers publishing in English-language journals. They invited all of their registered users by email to complete two surveys—roughly 10,000 users in 2010 and 15,000 in 2015. Like most online surveys, this one had a low response rate—around 5%, so caveats about sampling bias apply. 【这项研究是由美捷登 (Medjaden) 的工作人员设计和完成的。美捷登是一家注册在香港、致力于协助中国大陆生物医学研究者将科研论文发表在英文期刊上的编辑公司。他们使用邮件邀请了所有美捷登公司的注册用户, 分别于 2010 年 (约 10000 个用户) 和 2015 年 (约 15000 个用户) 完成了两次调查。如同大部分的网上调查一样, 这份调查的回复率较低 (在 5% 左右), 所以可能存在样本偏倚性的问题。】

Study co-author Hua He, who is also Medjaden's CEO, said: 【该文的共同通讯作者、美捷登的 CEO 何华说:】

To be very honest, no one can really know the actual statistics. And the data we collected from surveys are based on personal experience or subjective

individual perception. [...] So I would suggest we look at the data not literally, but rather use them as an indicator to draw a bigger picture. 【“实事求是地说, 没有一个人知道确切的统计数字。我们问卷的数据来自于个人的经验或者是个人主观的感受……所以我希望大家审慎地对待这个数据, 最好将它作为管中窥豹的一个指标。”】

This bigger picture, she said, shows that perceptions among biomedical researchers have changed little between 2010 and 2015—despite Chinese authorities' efforts to crack down on academic misconduct. Overall, 55% of respondents thought that academic conduct was “serious,” “very serious,” or “extremely serious,” and 71% thought that authorities were paying little to no attention to the issue. Roughly as many thought that punishments for academic misconduct were too lenient. 【“从更高的层面上来看, 尽管中国有关管理部门已经做出了很大努力来打击学术不端行为, 生物医学研究者们的认知从 2010 年到 2015 年几乎没有转变。”她说。总体来说, 在参加调查的研究者中, 55% 认为学术不端问题是“严重的”, “非常严重的”, 或者“极其严重的”; 71% 认为管理部门对于这一问题关注度较低。许多被调查者认为对于学术不端行为的惩罚力度过于温柔。】

The survey also shows that scientists strongly feel authorities have done little to address

the underlying publish-or-perish environment that breeds misconduct; 72% thought that reforms to current systems of academic assessment was the most important measure, with only 13% prioritizing stronger systems of monitoring for misconduct. 【这项调查同时也表明, 科学家们强烈地认为管理部门没有花大力气来改善“不发表就出局” (Publish-or-perish) 的环境, 而正是这个环境催生了学术不端行为; 72% 的被调查者认为改革现有的科研评价体系是一项最重要的举措, 而仅有 13% 的人认为更应优先强化对学术不端行为的监管体系。】

Hua He told us: 【何华告诉我们:】

We think the most important factor thought to be associated with scientific misconduct, which is the academic assessment system in China, has to be fundamentally solved to tackle this problem. So I think the main problem largely remains. 【“我们认为, 与学术不端行为相关的最重要的一个因素是中国的科研评价体系, 而要解决学术不端行为问题就要从根本上改革科研评价体系。所以, 我认为这个主要问题还会存在一段时间。”】

The forms of misconduct that were most concerning to respondents—ahead of falsification, fabrication, and duplication—were plagiarism (25%) and the “inclusion of someone without permission or contribution in the authorship” (28%). 【被调查者



提到最常见的学术不端的形式是抄袭（占比 25%）和“将没有得到许可或没有任何贡献的人列为作者”（占比 28%），它们的比例超过歪曲和伪造数据以及重复发表的比例。】

The latter encompasses two behaviors, the first of which is putting more famous names on the author list without permission to enhance a paper’s credibility. But the bulk of cases in this category—roughly 70%, estimates study co-author and Medjaden editor-in-chief Hua-Xiang Xia —refers to adding names to the author list as a favor. 【而后一种（即将没有得到许可或没有贡献的人列为作者）包括两种行为，一种是未经允许将一位名人列为作者以增加论文的可信度；另一种是将没有贡献

的人列为作者作为一种“人情”。据本文的共同作者、美捷登的主编夏华向估计，后一种行为更常见，大约占 70%。】

This is known as “gift authorship,” said education policy researcher Shuangye Chen of East China Normal University in Shanghai, who was not involved in Medjaden’s study. Although academic authorship backscratching can happen anywhere and is often regarded as simple courtesy, she said, 【上海华东师范大学教育政策研究员 Shuangye Chen（并未参与美捷登的调查）将这种行为称为“礼赠性作者署名”。她说虽然这种学术作者署名的问题会在任何地方发生，并通常被认为只是出于一种“简单的礼节”，】

It’s more complicated in the Chinese context. [...] They try to do it as a kind of collective. They know that someone who is [up for promotion] needs this kind of paper or authorship. They would gift this kind of authorship, not as an individual act, but to benefit the whole group or the whole lab. 【但在中国则更为复杂。……他们试图将这种作法作为集体化的体现。当他们知道某人 [由于晋升职称] 需要这类论文或作者署名时，他们会赠与这种作者署名，这不是某个人的行为，而是为了使整个团队或实验室获益。】

This practice has a darker side when entrenched lab hierarchies and power dynamics deny first author status to junior

researchers who did the bulk of the work in favor of more senior researchers. 【在根深蒂固的实验室等级制度和权力动态情况下,有时为了照顾更高级研究人员的利益而使得做了大量研究工作的初级研究人员不能成为第一作者。此时,这一行为就具有更加黑暗的一面。】

Chen told us she thinks the study's figure of 40% is significantly inflated from reality due to the low response rate, citing Chinese studies that suggest its more around 20%. But she agreed that reforming academic assessments is key to stemming the tide of misconduct. 【Chen 提到,由于回复率较低,她认为这项研究中的 40% 这一个数值显然比实际夸大了。她引用了几项中国的研究,显示这一数值更倾向于在 20% 左右。但是她认可科研评价体系的改革是遏制学术不端行为的关键。】

We are in a stage of trying to push and press those young scholars, especially, to publish more and higher quality papers. Otherwise we wouldn't have this kind of survival crisis. Being under that kind of high pressure is most conducive to academic misconduct. 【我们目前正处于一个极力推动和逼迫年轻学者,特别是要他们发表更多和更高质量论文的时期。否则,我们就不会有这种生存危机了。但在那种高压之下更易滋生学术不端行为。】

Xia argued that although the response rate is low, those

motivated to respond may be a relatively neutral group of active researchers: 【夏(华向)解释道:“虽然回复率很低,但那些积极响应者可能是相对中立的、而且仍然在研的那一群研究人员。”】

We're getting firsthand information because they are true biomedical researchers. The response rate is only 5 or 6%, but I think the people who did respond to us are those who wanted to share their real perceptions. 【“我们得到的是第一手数据,因为他们是真正的生物医学研究者。虽然回应率只有 5-6%,但我认为这些回应者是那些愿意分享他们真实感受的人。”】

But still, those are only perceptions of misconduct rates—not data on misconduct itself—so both he and study co-author Hua He also warned against overinterpreting the 40% figure. 【不过,这些只是对学术不端比例的感受,并不是学术不端本身的数据,所以夏(华向)和他的共同作者何华也提醒大家不要过度解读 40% 这个数据。】

This pressure to publish in English-language journals included in Thomson Reuters' Science Citation Index (SCI) has given rise to editing companies like Medjaden in China. As our loyal readers know, some of these companies have been caught in unsavory practices in recent years. These include selling authorships (as covered by *Science's* Mara Hvistendahl) and creating fake

reviewers to whisk manuscripts through peer review (which we reported on for *Nature*). These have led to mass retractions, like Springer's recent batch of 107 papers retracted from a single journal. 【在汤森路透的科学英文索引 (SCI) 的英文期刊上发表论文的压力在中国催生了许多像美捷登这样的编辑公司。我们的忠实读者都知道,有些公司近年来被发现有一些不当的行为,包括被《科学》(Science) 杂志的 Mara Hvistendahl 揭露的买卖论文作者署名和被《自然》(Nature) 杂志揭露的伪造虚假同行评审。这些都导致了大量的撤稿,比如斯普林格 (Springer) 最近从同一份杂志上撤下了 107 篇论文。】

Xia told us: 【夏(华向)告诉我们:】

This has seriously jeopardized the image and reputation of scientific editing in China. [...] Those companies, they have not been punished. The researchers, they are cheated. 【这已经严重损害了中国科学编辑(行业)的形象和声誉……那些编辑公司还没有受到任何惩罚,而研究人员还在受到(这些公司的)欺骗。】

The Chinese Association for Science and Technology (CAST) and other government organizations even issued guidelines for Chinese researchers last year that told them not to use third-party services in writing or submitting papers. 【中国科学技术协会 (CAST) 和其他的政府机构去年甚至给中国研究者发布了指导方

针，告诫他们不要在论文撰写和投稿上使用第三方服务。】

He and Xia told us that, to their knowledge, none of the papers they've worked on have been retracted, and editors will check original data and scan text for plagiarism whenever manuscripts raise concerns. 【何(华)和夏(华向)告诉我们，就他们所知，他们(美捷登)所负责编辑的论文没有一篇被撤稿。当对文稿有疑问时，(美捷登)的编辑会查看原始数据，并对文稿进行查重以检查文字是否存在抄袭。】

Medjaden says it hopes to root out these nefarious practices from their industry. In October 2015, Xia spearheaded the formation of the Alliance for Scientific Editing in China (ASEC), consisting of Medjaden and five other editing companies with operations in China. They adopted an editing code in line with standards from the international Committee on Publication Ethics. 【美捷登表

示，他们希望在编辑行业铲除这些恶劣行为。在2015年10月，夏(华向)率先倡导成立了由美捷登和其他五个业务在中国的编辑公司组成的中国英文科技论文编辑联盟(Alliance for Scientific Editing in China, ASEC)。他们采用的编辑规范与国际出版伦理委员会(COPE)标准一致。】

Although it's questionable how much of a difference self-imposed discipline can make, Xia said ASEC also plans to push for structural reforms. In March, they met with COPE representatives in Beijing to strategize opening a dialog with Chinese authorities on academic assessment reform. 【尽管不知道这种自我约束能带来多大的改变，夏(华向)提到ASEC还计划推进结构性的改革。今年三月，他们同COPE的代表在北京见面，商讨如何开启与中国有关管理部门对话大门并探讨科研评价系统改革。】

Xia told us: 【夏(华向)告诉我们：】

The reason causing the misconduct is the scientific assessment system. So we are trying to [change] that and hopefully with all this work, we can really help the scientists to do real research and publish quality papers. 【造成学术不端行为的原因是科研评价体系。所以，我们正在致力于改变这个体系，同时也希望通过这些努力，我们能够切实地帮助科学家们“做真研究，发好文章”。】

(本文已获得 Retraction Watch 的翻译许可)

参考文献

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