

NATIONAL RESEARCH COUNCIL FOR ECONOMICS, HUMANITIES AND SOCIAL SCIENCES RESEARCH REPORT ETHICS EVALUATION POLICY

Established on April 11, 2014

Established on March 6, 2015

Established on April 15, 2016

CHAPTER 1. GENERAL PROVISIONS

1. **Purpose**

The purpose of this Policy is to define matters required with regard to research ethics that researchers must comply with to raise the creativity and reliability of research reports published by government-funded research institutes under NATIONAL RESEARCH COUNCIL FOR ECONOMICS, HUMANITIES AND SOCIAL SCIENCES (hereinafter, “NRC”) (hereinafter, the “research institutes”) so as to encourage research institutes to elevate their research ethics level spontaneously.

2. **Definitions**

The terms used herein are defined as follows:

1. “Researchers” means principal researchers and research participants.
2. “Research misconducts” means any of the following items committed in the process of proposing, conducting, reporting and presenting research.
 - a. “Forging” means fraudulently making, recording or reporting any data or research finding that does not exist.
 - b. “Falsification” means falsifying research materials, equipment and processes (procedures) or randomly modifying or deleting data, consequently skewing research contents or findings.
 - c. “Plagiarism” means unduly using someone else’s work or idea except general knowledge in that specific area, as if it were one’s own, without proper acknowledgment of the source. <Revised on March 6, 2015>
 - d. “Illegitimate authorship” means not granting authorship to a person who has

substantially contributed to the content or findings of research without a due reason or granting authorship to a person who has not substantially contributed.

<Revised on March 6, 2015>

3. “Improper conduct of research” means duplicate publication in which one improperly uses their own work in another work of their own to an extent that compromises the originality of research. “Duplicate publication” includes “self-plagiarism” in which one reuses portions of their own presented (published) work without properly including a reference to the source and “redundant publication” in which one presents (publishes) their own work that is identical or substantially similar to their own previous work without acknowledging such earlier publication.

3. **Scope**

This Policy applies to the evaluation of compliance with research ethics for research reports of research institutes. <Revised on March 6, 2015>

4. **Responsibilities of Researchers**

- ① Researchers must strive to comply with research ethics by, for example, accurately understanding the content of research ethics evaluation set out herein and conducting a compliance check to ensure there occurs no violation of research ethics in the process of preparing a research report.
- ② Researchers must actively participate in research ethics education provided by NRC and Research Institute.

5. **Responsibilities of Research Institute**

- ① Research Institute must conduct research ethics education for its researchers at least once a year.
- ② Research Institute must establish and operate its own inspection procedure to prevent its researchers from violating research ethics.

6. **Responsibilities of NRC**

- ① NRC must establish and distribute policy on research ethics evaluation to ensure Research Institute complies with research ethics.

② NRC must secure a pool of experts in research ethics education and conduct research ethics education for researchers of Research Institute.

③ NRC must conduct various support activities to establish research ethics in Research Institute.

CHAPTER 2. Research Ethics Violation Types and Standards

7. Forging

The case is deemed to be forging if it falls under any of the following subparagraphs

1. Preparing a questionnaire on an imaginary topic without conducting an actual interview and falsely presenting research findings
2. Presenting any data that was not obtained from any survey, experiment or observation as if it existed
3. Adding fictional materials to increase the statistical effectiveness of materials obtained from experiments and so forth
4. Falsely inserting research records to prove conformity to the research protocol
<Revised on March 6, 2015>

8. Falsification

The case is deemed to be falsification if it falls under any of the following subparagraphs.

1. Intentionally falsifying research materials against actual materials
2. Explaining what is not certain based on the result of statistical analysis of research materials falsely on purpose or due to gross negligence
3. Selectively omitting, deleting or concealing research materials without statistical foundation
4. Drawing distorted research findings by overestimating, underestimating or modifying research materials

9. Plagiarism

① The case is deemed to be plagiarism if it falls under any of the following subparagraphs.

1. Using someone else's work or original idea that has already been presented (published) without including a reference to the source <Revised on April 15, 2016>
2. Translating and using someone else's work without including a reference to the source
3. Including a reference to the original source as if one read it when they must include a reference to the secondary source <Revised on March 6, 2015>
4. Notwithstanding citation of the source, the amount or quality of citation exceeds a proper scope, putting the citation and the source in the relation between master and servant. <Revised on March 6, 2015>
5. Utilizing work of someone else (one or multiple persons) without including a reference to all of the sources <Revised on March 6, 2015>
6. Notwithstanding indication that a large portion of someone else's work has been referred to, that portion has been used as is without paraphrasing or summarization. <Revised on March 6, 2015> <Revised on April 15, 2016>

② Notwithstanding the provision set out in Clause 9.1, any of the following subparagraphs shall not be regarded to be plagiarism given the characteristics of research reports of Research Institute.

1. Citing someone else's work without using quotation marks (“ ”) or citing the page number notwithstanding citation of the source <Revised on March 6, 2015>
2. When paraphrasing or summarizing someone else's work in introduction (review) of precedent studies, description of methodologies, foreign cases and so forth, one includes a reference to the source of any portion other than specific tables, figures or photographs comprehensively and generally. <Revised on March 6, 2015>
3. When preparing a comprehensive report summarizing detailed reports or preparing a summary report in a cooperative research project in the form of a summary report-detailed report, one includes a reference to the source of the content of the detailed report comprehensively and generally. <Inserted on March 6, 2015>
4. When preparing a research report to expand and deepen an annual report or the same topic, one includes a reference to the source of references used in describing precedent studies and methodologies comprehensively and generally. <Inserted on March 6, 2015>

5. When citing a precedent or legislation, one includes a reference to the precedent number or the provision of the legislation. <Inserted on March 6, 2015>
6. The source has been cited for tables, figures and photographs but not for the body where those materials are explained, and the content of the body can be drawn from those tables, figures and photographs alone. <Inserted on April 15, 2016>

10. **Illegitimate authorship**

The case is deemed to be illegitimate authorship if it falls under any of the following subparagraphs. However, any contract or equivalent between parties, if any, may be taken into account, and if it is impossible to specify the name of any co-author for any particular reason such as the editorial policy of the journal, the reason and the co-author's real name must be disclosed through the preface, notes or equivalent. <Revised on March 6, 2015>
<Heading revised on March 6, 2015>

1. Not granting authorship to a person duly entitled as an author
2. Granting authorship to a person not duly entitled as an author

11. **Duplicate publication**

① One may utilize their own previous work in their new research report but the case is deemed to be a duplicate publication if it falls under any of the following subparagraphs.

1. Using one's own previous work without including a reference to the source <Revised on March 6, 2015>
2. Including a reference to the source only for part of one's own previous work or including a reference to the source of one's own previous work incorrectly <Revised on March 6, 2015>
3. Including a reference to the source but the amount or quality of the citation in the research report exceeding a proper scope <Revised on March 6, 2015>

② Notwithstanding the provision set out in Clause 11.1, the case is deemed to be not duplicate publication if it falls under any of the following subparagraphs. <Revised on April 15, 2016>

1. Utilizing the content of one's own unpublished thesis in a research report within a proper extent <Revised on March 6, 2015>

2. Utilizing one's own previous report upon request from specific organizations or for specific purposes, such as service report summaries and policy proposals
 3. Utilizing one's own research materials, such as research drafts, issue papers, speeches, manuscripts published in non-academic journals, working papers or briefs and equivalent research materials, in their own research report <Revised on March 6, 2015>
 4. Including a reference to one's own work without using quotation marks (“ ”) or including a reference to the page number notwithstanding citation of the source <Inserted on March 6, 2015>
 5. When paraphrasing or summarizing one's own work in introduction (review) of precedent studies, description of methodologies, foreign cases and so forth, one includes a reference to the source of any portion other than specific tables, figures or photographs comprehensively and generally. <Inserted on March 6, 2015>
 6. When preparing a comprehensive report summarizing detailed reports or preparing a summary report in a cooperative research project in the form of summary report-detailed report, one includes a reference to the source of the content of the detailed report comprehensively and generally. <Inserted on March 6, 2015>
 7. When preparing a research report to expand and deepen an annual report or the same topic, one includes a reference to the source of references used in describing precedent studies and methodologies comprehensively and generally. <Revised on March 6, 2015>
 8. Utilizing any non-academic policy proposal made in one's own presented (published) work in a research report within a proper extent <Revised on March 6, 2015>
- ③ When publishing a different language version of one's own published work, one must comprehensively consider the purpose and necessity of translation, characteristics of the specific field of study, used language and publication policy of one's own research institute and so forth.

CHAPTER 3. Citation of Sources in Research Reports [Heading Revised on March 6, 2015]

12. Citation of the source and citations

① Including a reference to a source in a research report must be done as in the following subparagraphs. <Revised on March 6, 2015> [Heading revised on March 6, 2015]

1. Basically, a source should be cited for each sentence. <Revised on March 6, 2015>
2. The method for including a reference to sources may vary depending on characteristics of the specific field of study or the policy of the specific research institute. Whatever method is employed, however, it must be consistent. <Revised on March 6, 2015>
3. The method for including a reference to sources may vary depending on the type of research report. <Revised on March 6, 2015>
4. For any literature cited in the body of the report, its bibliography must be provided in References. For any literature that has not been cited or referred to in the body but that has been mentioned as a material to be referred to for related studies and further studies, its bibliography must be provided under the heading: List of Related Materials.
5. Where materials on the Internet are cited, the URL and date of access must be cited. <Inserted on March 6, 2015>
6. Where any table, figure or photograph is cited, its source must be cited in that specific part or in the body. <Inserted on March 6, 2015>
7. Where the original material is modified and cited, the source of the original must be cited, and the fact that the original has been modified must be disclosed.

② Citations in a research report must be made as in the following subparagraphs.

1. Make a citation in a reasonable way in good faith to ensure that one's own and another's are clearly distinguished from each other.
2. Use quotation marks (“ ”) for a short direct quotation of not more than three lines and make a separate paragraph with an indentation for a longer direct quotation, and then include a reference to the page number.
3. Include a reference to the source for an indirect quotation as well, such as a paraphrased or summarized quotation. <Revised on March 6, 2015>
4. Citation must be used to a proper extent so that citations become subordinate to one's

own work.

13. Items subject to citation of sources

① Items subject to citation of sources in a research report are as in the following subparagraphs. <Revised on March 6, 2015> [Heading revised on March 6, 2015]

1. Printed materials: Books, scholarly papers, newspapers, presentation materials for conferences, etc. <Revised on April 15, 2016>
2. Electronic materials: Digitalized materials (electronic books, electronic journals, digitalized journals, etc.), databases, websites, social media, etc. <Revised on April 15, 2016>
3. Data: Data from surveys, census materials, various economic and social indexes, etc. <Revised on March 6, 2015>
4. Images: Figures, graphs, tables, design drawings, maps, photographs <Revised on April 15, 2016>
5. Records: Television broadcasts, speeches, etc.
6. Verbal materials: Information from interviews, lectures, seminars, etc.

② Any material that is difficult to include a reference to sources due to characteristics of research conducted by research institutes, such as confidential materials from expert discussions, research institutions, government agencies and project owners, may be exempted from including a reference to sources. <Revised on March 6, 2015>

14. Preparation of research reports

In preparing a research report, researchers must be aware of the following subparagraphs so as to not violate research ethics.

1. Citation must be made only from officially verified or authoritative sources and only when necessary.
2. Specify how the context argued by the author is related to the cited material.
3. Where one directly cites one's own or another's work in a research report, one must include quotation marks or indication of the cited paragraph with a reference to the accurate source and the page number and provide a specific bibliography of the cited

work in References as well.

4. Where one indirectly cites one's own or another's work in a research report, one must disclose the accurate source and provide a specific bibliography of the cited work in References as well.

5. Ensure that there is no omitted reference to sources or inaccurate citation in a research report.

6. When one cites various policy materials or legislations issued by government or public agencies or uses statistical data as it is or after processing it to the purpose of research, one must include an accurate reference to the source.

CHAPTER 4 Evaluation of Research Ethics and Sanctions against Violations

15. Evaluation procedure, etc.

① NRC must establish specific criteria for evaluation of research ethics of Research Institute set out in the following subparagraphs.

1. Evaluation procedure

2. Evaluation result calculation method

3. Utilization of evaluation results

4. Any other matter recognized by Chairman of the Board to be necessary for evaluation of research ethics

② The evaluation procedure according to the provision set out in Clause 15.1.1 must include granting opportunity for an explanation to research institutes who have published the target research report and the rights and confidentiality of the person under evaluation to ensure that impartial and reasonable evaluation can be made.

③ The evaluation result calculation method set out in Clause 15.1.2 must comprehensively consider research ethics violation types and severity of violation and the number of violations.

④ Utilization of evaluation results set out in Clause 15.1.3 must include actions for evaluation results and management of evaluation results.

16. Sanctions against research ethics violation

- ① For sanctions against research ethics violations committed by researchers, NRC and Research Institute must determine the level of sanctions reasonably and properly based on the type of violation, severity of violation and intentionality.
- ② NRC may request Research Institute to impose sanctions on researchers who have violated research ethics.
- ③ When imposing sanctions on researchers, Research Institute must follow its relevant policy for details.
- ④ Where Research Institute imposes sanctions on researchers who have violated research ethics, it must report details to Chairman of the Board.

CHAPTER 5. Research Ethics Committee

17. Basis for establishment

Chairman of the Board must establish a research ethics committee (hereinafter, the "Committee") in NRC to implement the functions set out in Clause 19.

18. Structure

- ① The Committee consists of not more than 15 persons, including the Chairman of the Planning and Evaluation Committee (ex officio) and members of the Planning and Management Committee (ex officio), director of the evaluation department (ex officio), grade 4 or above officers of competent authorities (ex officio) and relevant experts.
- ② The chairman of the committee shall be assumed by the chairman of the Planning and Evaluation Committee and preside over meetings.
- ③ The chairman and members of the Committee shall be appointed by Chairman of the Board, and in the absence of the chairman of the committee, one of the members of the Planning Evaluation Committee and the Planning and Management Committee shall be appointed by Chairman of the Board.

19. Functions

The Committee shall perform the tasks set out in the following subparagraphs.

1. Review the basic plan for evaluation of research ethics of research institutes
2. Select research reports subject to research ethics evaluation and recommend to Chairman of the Board. However, where there is any change in target reports for any unavoidable reason after selection, Chairman of the Board shall select target reports without the recommendation of the Committee.
3. Select three times the number of judges from experts related to the target research report and recommend to Chairman of the Board. However, where there is any change in judges for any unavoidable reason after the appointment of the judge group, Chairman of the Board shall appoint judges without the recommendation of the Committee.
4. Review the initial and revised versions of the research ethics evaluation policy.
5. Determine the final result of research ethics evaluation for research reports to be reported to the Board of Directors.
6. Review research ethics education materials.
7. Matters regarding verification of research ethics based on reports on violation of research ethics in research reports ordered by NRC.
8. Other tasks of the Committee assigned by Chairman of the Board with regard to research ethics.

20. Term of committee members

The term of the members of the Committee shall be the term of the ex officio member position or 2 years for non-ex officio members.

21. Meetings

- ① A Committee meeting shall be summoned when deemed by Chairman of the Board to be necessary.
- ② A Committee meeting shall commence when a majority of the current members are present.

③ The secretary shall be assumed by the head of the department responsible for evaluation of research ethics. The secretary must prepare agenda and write and provide minutes if necessary. <Revised on April 15, 2016>

22. Request for submissions

Where necessary for business, the Committee may request internal and external researchers who performed research of NRC or research institutes to submit necessary materials or relevant persons to attend a meeting to collect their feedback.

23. Allowances

Allowances, travel expenses and any other necessary expenses may be provided to the chairman and members of the Committee in accordance with the budget execution policy.

24. Supplementary rules

Specific criteria regarding the basic plan for evaluation of research ethics of research institutes, selection of research reports subject to evaluation and appointment of research ethics evaluation judges shall be determined by Chairman of the Board separately at the time of establishing an annual basic plan for evaluation of research ethics.

Supplementary Provision <April 11, 2014>

This Policy shall take effect upon the decision by the Board of Directors.

Supplementary Provision <March 6, 2015>

This Policy shall take effect upon the decision by the Board of Directors.

Supplementary Provision <April 15, 2015>

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