

# Woosong University Research Ethics Regulations

## Chapter 1 General Provisions

### Article 1 (Purpose)

The purpose of these Regulations is to establish research ethics for researchers of Woosong University, prevent research misconduct in advance, and prescribe matters necessary for fair and systematic verification of integrity in the event of alleged research misconduct.

### Article 2 (Definitions)

The definitions of terms used in these Regulations shall be as follows:

1. **“Researcher”** means faculty members, staff, undergraduate and graduate students of Woosong University (hereinafter referred to as the “University”), and any other persons directly or indirectly related to research activities within the University.
2. **“Professional Institution”** means an institution that supports, manages, and supervises researchers and research institutions.
3. **“Raw Research Data”** means unprocessed data and literature collected by a researcher through experiments, observations, surveys, or other methods for the purpose of achieving research objectives.
4. **“Research Data”** means processed raw research data, secondary data utilizing such processed data, and related literature.
5. **“Research Results”** means systematic conclusions derived by a researcher through the use of research data obtained from research activities.
6. **“Research Output”** means academic works and intellectual property, including reports, theses, publications, and monographs, describing the final results obtained by a researcher through research activities.
7. **“Conflict of Interest”** means a situation in which a researcher’s private interests are related to the performance of research and development activities constituting official duties, thereby impairing or potentially impairing fair and ethical research and development activities.
8. **“Informant”** means a person who reports research misconduct by notifying facts recognized or related evidence thereof.
9. **“Respondent”** means a person who has become the subject of investigation for alleged research misconduct by reason of a report from an informant or recognition by the University, or a person presumed during the investigation process to have participated in research misconduct; provided, however, that witnesses and reference persons in the investigation process shall not be included.
10. **“Preliminary Investigation”** means the procedure for determining whether a formal investigation shall be conducted regarding suspected research misconduct.
11. **“Formal Investigation”** means the procedure for verifying the existence of research misconduct.
12. **“Determination”** means the procedure for finalizing the results of the formal investigation.
13. **“Investigation Committee”** means the committee responsible for conducting preliminary and formal investigations.

### Article 3 (Application)

① These Regulations shall apply to all faculty members, staff, researchers, undergraduate and graduate students, and other related persons directly or indirectly involved in research and development activities of researchers affiliated with the University.

② These Regulations shall apply to the entire scope of all internal and external research and development projects conducted or currently being conducted by researchers affiliated with the University, including proposals, performance of research and development, reporting, and publication of research and development results, and shall govern except where otherwise provided in other regulations.

## Chapter 2 Establishment and Operation of the Research Ethics and Integrity Committee

### Article 4 (Principles)

- ① Researchers shall conduct all research and development activities honestly and truthfully.
- ② Researchers shall describe the content and significance of their research objectively and accurately, and shall not arbitrarily omit or add research results.
- ③ Researchers shall ensure that, in all research and development activities, they do not engage in unfair, biased, or prejudgmental thinking.
- ④ Where a violation of research ethics is discovered after publication of research results, the researcher shall, without delay, withdraw all or part of such research results.
- ⑤ The President shall provide support to ensure that researchers maintain integrity in the performance of research.

### Article 5 (Recording of Research Data and Derivation of Research Results)

- ① Researchers shall conduct research based on accurate and verified research data (including raw data such as experimental materials, procedures, results, observations, field surveys, questionnaire results, and processed secondary data), and shall derive research results consistent with the truth.
- ② All research data shall be accurately reported and shall be clearly and accurately recorded, processed, and preserved in a manner that enables interpretation and verification.
- ③ Researchers shall use appropriate experimental designs and statistical methods and, where necessary, disclose such methods.
- ④ The President shall establish and operate policies concerning ownership, management responsibilities, preservation, disposal, security, and disclosure of research data and research notes.

### Article 6 (Use of Research Achievements)

- ① In preparing research proposals, academic writings, and related documents, researchers shall, in principle, use their own ideas, research data, and wording.
- ② Where researchers use the research ideas, research data, academic writings, or other works of others, they shall accurately indicate the source or citation thereof.
- ③ Researchers shall not duplicate the publication of all or part of their previously published papers or writings in the same or another language without proper indication of source and citation.

### Article 7 (Utilization of Research Results)

Researchers shall publish and utilize research results in a manner consistent with their academic conscience. In particular, researchers shall not distort or exaggerate research results for the purpose of enhancing external reputation, securing research funding, or for any similar reason.

## Chapter 3 Ethics in Academic Exchange

### Article 8 (Principles for Publication of Research Results)

- ① In presenting research results, researchers shall describe such results accurately and truthfully.
- ② Prior to publishing research results, researchers shall be mindful of the potential impact of their research on society and fulfill their responsibilities as professionals.

### Article 9 (Authorship Attribution)

- ① Researchers shall identify as authors those persons who have made academic or technical contributions to

research activities, including research planning, conceptualization, research performance, analysis of results, and preparation of manuscripts.

- ② Researchers shall not deny authorship without just cause to persons who have made academic or technical contributions to research activities, nor shall they include as authors persons who have not made such contributions for reasons of gratitude, courtesy, or other consideration.
- ③ The order of authorship shall be determined fairly through agreement among all participating authors in accordance with the degree of contribution to the research and the characteristics and practices of the relevant academic discipline.
- ④ Researchers may specifically acknowledge, in an acknowledgment section, persons who have directly or indirectly contributed to the research other than as authors, including those involved in data collection, data entry, translation into other languages, or similar assistance.

#### **Article 10 (Indication of Author's Affiliated Institution)**

The affiliation of a presenter of research results shall be indicated as the institution to which the presenter belonged at the time the research, including experimentation and writing, was conducted. Provided, however, that where different customs prevail in a particular field, such customs may be followed.

#### **Article 11 (Special Related Persons)**

- ① Where a researcher's inclusion of a minor or family member (including spouse, children, and relatives within the fourth degree of kinship; hereinafter referred to as "Special Related Person") in research participation gives rise to, or may give rise to, a conflict of private interest, the researcher shall report such participation plan to the University and co-researchers through a Special Related Person Research Participation Plan prior to or during the conduct of research, and shall make efforts to manage, reduce, and eliminate such conflict.
- ② Prior to publication or submission of co-authored research involving a Special Related Person, the researcher shall submit a written report concerning the Special Related Person to the University and the relevant academic organization.
- ③ Prior reporting under Paragraphs 1 and 2 shall be conducted in accordance with procedures separately prescribed by the University.

#### **Article 12 (Security Management for National Research and Development Projects)**

- ① Researchers shall ensure that major confidential information, research outputs, and other materials requiring security in connection with the performance of the following national research and development projects are not disclosed without authorization:
  1. Research and development projects related to defense capability improvement projects under Article 3, Subparagraph 1 of the Defense Acquisition Program Act;
  2. Research and development projects related to any of the following technologies:
    - a. Technologies for which technology transfer is refused by foreign entities and localization is being pursued;
    - b. Future core technologies recognized as requiring protection;
    - c. National core technologies under Article 2, Subparagraph 2 of the Act on Prevention of Divulgence and Protection of Industrial Technology;
    - d. echnologies requiring export restrictions or licenses under Article 19, Paragraph 1 of the Foreign Trade Act.
- ③ The President shall establish and implement security measures to prevent leakage of important information, including research and development outcomes, related to national research and development projects and research tasks.

#### **Article 13 (Protection of Information in International Exchange)**

- ① Where researchers conduct joint research with foreign researchers or foreign research and development

institutions, or provide published results, consultation, or similar services through mutual cooperation, they shall comply with the following:

1. Researchers shall ensure that foreign researchers and foreign research and development institutions maintain confidentiality regarding information acquired in the course of joint research or mutual cooperation.
  2. In cases involving projects related to national core technologies designated under Article 9 of the Act on Prevention of Divulgence and Protection of Industrial Technology, or security-designated projects under Article 21, Paragraph 2 of the National Research and Development Innovation Act, the Principal Investigator shall ensure that research data, deliverables, and other materials provided to foreign institutions during the research process undergo review and approval procedures.
- ② In order to prevent overseas leakage of important research information, the President shall establish and implement security measures including those prescribed in the Security Management Measures for National Research and Development Projects and the Act on Prevention of Divulgence and Protection of Industrial Technology, as well as any other matters deemed necessary.

## Chapter 4 Prevention and Management of Conflicts of Interest

### Article 14 (Responsibilities of the University)

- ① The President shall take measures to effectively identify and manage conflicts of interest in research and development so as to ensure that researchers' fair and ethical performance of duties is not impaired by conflicts of interest related to research and development.
- ② In preventing and managing conflicts of interest in research and development, the President shall exercise care not to discourage researchers' performance of diverse duties—including research, education, laboratory start-ups, external activities, and various research support functions—nor to impair autonomy and creativity through excessive regulation, and shall continuously seek and reflect the opinions of researchers.
- ③ The President shall provide appropriate protective measures to ensure that researchers do not suffer disadvantage for taking actions to prevent conflicts of interest, including reporting violations.

### Article 15 (Responsibilities of Researchers)

- ① Researchers shall perform their duties fairly and ethically without being influenced by private interests.
- ② Researchers shall act impartially and without bias in connection with the performance of their duties, and shall not give preferential treatment to or discriminate against persons related to their duties.
- ③ Where a researcher determines that fair and ethical performance of duties is difficult due to private interests, the researcher shall prevent conflicts of interest by refraining from performing such duties or by taking other appropriate measures.

## Chapter 5 Establishment of a Sound Research Laboratory Culture

### Article 15 Protection of Researchers' Rights and Interests)

- ① Researchers shall respect the personal rights of others and ensure that no infringement upon the rights or dignity of others occurs.
- ② The Principal Investigator shall give due attention to the protection of human rights, enhancement of rights and interests, and welfare of researchers engaged in research activities.\
- ③ The Principal Investigator shall treat researchers equally without discrimination based on gender, age, religion, place of origin, or other similar factors, and shall fairly distribute research outcomes and

resources among participating researchers.

- ④ The Principal Investigator shall endeavor to protect researchers' human rights and improve their rights and interests, and shall establish a safe research environment through support systems for the prevention of and response to sexual harassment, sexual violence, abuse of authority, and other infringements of rights and interests.

#### **Article 16 (Fairness in Interpersonal Research Relationships and Conflict Management)**

- ① Researchers shall strive to create a cooperative research culture based on mutual understanding of roles and mutual trust among researchers.
- ② Where researchers conduct joint research with others, they shall clearly define their respective roles and relationships and fulfill the responsibilities arising therefrom; where necessary, laboratory guidelines including each participant's role and methods for data collection, storage, and sharing shall be documented.

#### **Article 17 (Communication within the Laboratory and Enhancement of Autonomy)**

- ① The Principal Investigator shall faithfully supervise participating researchers so that research may be conducted creatively throughout the course of the project.
- ② The Principal Investigator shall endeavor to ensure participation and communication during the research period by guaranteeing participating researchers the opportunity to express opinions, thereby promoting the continuous development of the laboratory.

#### **Article 18 (Protection of Researchers' Safety and Health)**

- ① The Principal Investigator shall oversee laboratory safety matters related to the conduct of research, establish standards for safety management, and take necessary preventive measures against all matters threatening safety.
- ② The Principal Investigator shall provide basic facilities necessary for safety management to ensure that researchers may conduct research safely.

#### **Article 19 (Prevention of Predatory or Unsound Academic Activities)**

1. When publishing research results in the form of academic papers, the principal investigator and others involved shall utilize reputable and credible academic journals or conferences recognized by the relevant academic community.
2. The principal investigator shall, in cases where research participants intend to publish their research results as papers, verify that the relevant academic organization is recognized by the appropriate academic community and provide proper guidance accordingly.

## **Chapter 6 Research Ethics Education**

#### **Article 20 (Prevention of Predatory or Unsound Academic Activities)**

The President shall continuously provide research ethics education to ensure that researchers comply with research ethics and prevent research misconduct in the course of conducting research.

#### **Article 21 (Responsibilities of Researchers)**

- ① Researchers shall familiarize themselves with and comply with the University's Research Ethics Regulations and applicable laws and regulations.
- ② The Principal Investigator shall guide affiliated researchers and students to participate in research ethics education, and researchers shall actively participate in research ethics education provided by the University.

**Article 22 (Contents of Research Ethics Education)**

Research ethics education shall be based on the University's Research Ethics Regulations and applicable laws and regulations, and shall take into account the specific characteristics of each academic discipline, including concrete cases and methods.

## **Chapter 7 Establishment and Operation of the Research Ethics Committee**

**Article 23 (Establishment)**

- ① The Woosong University Research Ethics Committee (hereinafter referred to as the "Committee") shall be established to deliberate on important matters related to the University's research ethics.
- ② The President shall endeavor to ensure the independence, fairness, and budgetary support of the Committee.

**Article 24 (Functions)**

The Committee shall deliberate on the following matters:

1. Matters concerning the establishment and operation of systems related to research ethics;
2. Matters concerning mediation and adjustment of conflicts and disputes arising in the course of research performance;
3. Matters concerning receipt of reports of research misconduct;
4. Matters concerning the composition of the Preliminary Investigation Committee, initiation of preliminary investigations, and handling and follow-up measures regarding preliminary investigation results;
5. Matters concerning the composition of the Formal Investigation Committee, initiation of formal investigations, and handling and follow-up measures regarding formal investigation results;
6. Matters concerning protection of informants and restoration of reputation of respondents;
7. Matters concerning preservation and disclosure of records related to verification of research misconduct;
8. Other matters submitted to the meeting by the Chairperson.

**Article 25 (Composition)**

The Committee shall consist of no more than seven (7) members, including one Chairperson.

**Article 26 (Meetings)**

- ① The Chairperson shall convene meetings of the Committee and preside thereover.
- ② Resolutions shall require the attendance of a majority of incumbent members and the approval of a majority of members present.
- ③ Where the Chairperson deems an agenda item to be minor, deliberation may be conducted in writing.
- ④ Where deemed necessary by the Committee, relevant persons may be required to attend and provide opinions.
- ⑤ Meetings shall, in principle, be closed to the public; provided, however, that the Committee may disclose meetings where deemed necessary.

## **Chapter 8 Research Misconduct**

**Article 27 (Scope of Research Misconduct)**

Research misconduct refers to fabrication, falsification, plagiarism, improper authorship attribution, improper duplicate publication, and similar acts committed in the proposal, conduct, reporting, or publication of research, and shall also include proposing, coercing, or threatening another person to commit such acts.

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Provided, however, that minor negligence or differences in interpretation or judgment regarding data and research results shall be excluded.

1. **“Fabrication”** means the act of falsely creating, recording, or reporting research raw data, research data, or research results that do not exist.
2. **“Falsification”** means the act of distorting research content or results by artificially manipulating research materials, equipment, or processes, or by arbitrarily altering or deleting research raw data or research data.
3. **“Plagiarism”** means the act of causing a third party to recognize another person’s original ideas or creative works, which are not common knowledge, as one’s own creation by using them without proper source attribution, including the following:
  - a. Using all or part of another person’s research content without indicating the source;
  - b. Using another person’s words or sentence structure with partial modification without indicating the source;
  - c. Using another person’s original ideas without indicating the source;
  - d. Translating and using another person’s work without indicating the source.
4. **“Improper Authorship Attribution”** means the act of denying authorship without just cause to a person who has contributed to the research content or results, or granting authorship to a person who has not contributed for reasons such as courtesy or acknowledgment, including the following:
  - a. Granting authorship despite no contribution to the research content or results;
  - b. Denying authorship despite contribution to the research content or results;
  - c. Publishing or presenting a student’s thesis or dissertation solely under the supervising professor’s name in academic journals or other publications.
5. **“Improper Duplicate Publication”** means the act of obtaining unjust benefit, such as receiving research funding or separate recognition as research achievement, by publishing works identical or substantially similar to one’s previous research results without source attribution. In determining whether duplicate publication is improper, the following shall be considered:
  - a. Determination of duplicate publication generally applies to papers published in academic journals, but the same principles may apply to theses, research reports, conference papers, and similar works;
  - b. Publishing a book compiling previously published papers shall not constitute duplicate publication, provided that proper citation is made;
  - c. Republishing academic journal content in popular books, magazines, or general-interest publications with proper citation shall not constitute duplicate publication;
  - d. Publishing a full paper containing additional results, interpretations, or detailed methodology after publication of a short-form letter or communication shall not constitute duplicate publication, provided that proper citation is made;
  - e. Publishing the same research results in another language shall not constitute duplicate publication where the original paper is properly cited and prior approval is obtained from the relevant journal.
6. **“Obstruction of Investigation into Research Misconduct”** means intentionally interfering with an investigation into one’s own or another person’s misconduct, or causing harm to an informant.
7. Other acts that seriously deviate from standards generally accepted in the relevant academic field or undermine the integrity of research and development activities.

#### **Article 28 (Scope of General Misconduct)**

General misconduct means acts that undermine sound research activities, including:

1. Violating standards and permitted purposes for the use of research and development funds;
2. Improperly owning, or causing a third party to own, research and development outcomes in violation of regulations;
3. Violating security measures under Article 21, Paragraph 1 of the Act, or disclosing/leaking confidential matters relating to research projects classified as security-designated projects pursuant to Article 21, Paragraph 23 of the Act;

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4. Applying for or conducting research and development projects by false or improper means;
5. Acts set forth in Article 56, Paragraph 1, Subparagraphs 1 through 4 of the Enforcement Decree of the Act.

**Article 29 (Determination of Research Misconduct)**

- ① Research misconduct shall be determined based on the following criteria:
  1. Whether the act is ethically or legally blameworthy in the researcher's academic field;
  2. The regulations, guidelines, and generally accepted standards applicable at the time of the conduct;
  3. Comprehensive consideration of the actor's intent, the quantity and quality of the research misconduct output, academic customs and characteristics, and benefits obtained through the misconduct.
- ② In determining matters under Article 39, Subparagraph 7, consideration shall be given to whether the relevant academic community widely recognizes the conduct as misconduct.