

Research Integrity Committee Operating Rules

Established on December 27, 2006

Amended on February 10, 2011

Major revision on May 12, 2011

Amended on April 29, 2015

Amended on September 15, 2017

Amended on October 2, 2019

Amended on January 13, 2023

Chapter 1. General

Article 1. Purpose

The purpose of this Regulation is to establish research integrity among members of Ajou University (hereinafter referred to as “the University”) and to specify the composition and operation of the Research Integrity Committee (hereinafter referred to as “the Committee”) for fair and systematic verification in the event of research misconduct. (Amended on May 12, 2011)

Article 2. Scope of Application

This Regulation shall apply to all faculty, researchers, and students who are directly or indirectly related to the University’s research and development activities. (Amended on May 12, 2011)

Article 3. Scope of Application

This Regulation shall apply to all cases of research integrity verification, except where there are other special regulations.

Article 4. Definition of Terms

(1) Research misconduct means fabrication, falsification, plagiarism, duplicate publication, and unfair authorship, etc., which are committed in the proposal, conduct, reporting, and presentation of research results. It is as follows: (Amended on May 12, 2011)

1. “Fabrication” refers to the act of creating false data or research results that do not exist.
2. “Falsification” refers to the act of distorting the research content or results by artificially

manipulating research materials, equipment, or processes, or arbitrarily modifying or deleting data.

3. “Plagiarism” means the act of stealing the ideas, research contents, or results of others without proper approval or citation.
4. “Duplicate publication” refers to the act of using an academic work that is identical or substantially similar to the author’s previous research results in another academic journal or work without the permission of the editor of the journal or the copyright holder of the work, or without proper citation. (Newly established on May 12, 2011)
5. “Unfair authorship” refers to the act of not granting authorship to a person who has made a significant academic or technical contribution or contribution to the research content or results for a legitimate reason, or granting authorship to a person who has not made a significant academic or technical contribution or contribution for reasons of gratitude or honor. (Amended on May 12, 2011)
6. The act of intentionally obstructing or harming the investigation of research misconduct on behalf of oneself or another person.
7. The act of proposing, coercing, or threatening another person to commit the above research misconduct.
8. Other acts that seriously deviate from the scope that is normally tolerated in the science and technology community.
- (2) “Whistleblower” refers to a person who reports to the Committee the fact or related evidence of research misconduct. (Amended on May 12, 2011)
- (3) “Respondent” refers to a person who is subject to an investigation of research misconduct due to a report or the knowledge of a research institution, or a person who is suspected of having participated in research misconduct during the investigation process, and does not include witnesses or witnesses in the investigation process.
- (4) “Preliminary investigation” refers to the process of reviewing the requirements for conducting a main investigation on a research misconduct suspicion. (Amended on January 13, 2023.)
- (5) “Main investigation” refers to the process of proving the fact or non-fact of the allegation of research misconduct.
- (6) <Deleted on May 12, 2011.>
- (7) “Judgment” refers to the process of confirming the investigation results and notifying them to the whistleblower and the respondent in writing. (Newly established on January 13, 2023.)

Chapter 2 Establishment and Operation of Research Integrity Committee

Article 5. Function The Committee shall deliberate and decide on the following matters:

(Newly established on May 12, 2011)

1. Matters related to the establishment and operation of research integrity systems
2. Receive reports of research misconduct
3. Matters related to the composition and appointment of the Preliminary Investigation Committee and the Main Investigation Committee
4. Commence preliminary investigations and main investigations
5. Matters related to the protection of whistleblowers and the restoration of the reputation of respondents
6. Matters related to the processing of the results of preliminary investigations and main investigations and follow-up measures
7. Other matters that the chair brings up

Article 5-2. Verification of Integrity <Deleted on May 12, 2011>

Article 6. Composition

- (1) The Committee shall consist of 9 or fewer members, with a term of 2 years, and may be reappointed. The members shall be appointed by the President from among associate professors or higher. (Newly established on May 12, 2011) (Amended on October 2, 2019)
- (2) The chairman shall be elected from among the members, represent the Committee, and convene and preside over meetings. (Newly established on May 12, 2011)

Article 7. Secretary

- (1) The Research Team Leader shall be the secretary to handle the affairs of the Committee. (Newly established on May 12, 2011)

Article 8. Meetings and Decisions

- (1) The chairman shall convene and preside over the Committee's meetings. (Newly established on May 12, 2011)
- (2) The meeting shall be decided by a majority of the present members and a majority of the present members. However, a resolution on the recommendation of disciplinary action in accordance with research misconduct requires the approval of more than two-thirds of the present members. (Newly established on May 12, 2011)

Chapter 3. Research Integrity Verification

Article 9. Research Misconduct Verification Procedure

- (1) Whistleblowers may report to the chairman or secretary in any way possible, such as orally, in writing, by telephone, or by email, and they are encouraged to report in their real name. However, if you want to report anonymously, you must submit the name of the research project or the title of the article and the specific content and evidence of the research misconduct in writing or by email. (Amended on May 12, 2011)
- (2) <Deleted on May 12, 2011>
- (3) In order to verify research misconduct, the following procedures must be followed: “preliminary investigation“, “main investigation“, and “judgment“. (Newly established on January 13, 2023.)

Article 10. Commencement of Preliminary Investigation

- (1) The Committee shall determine whether or not to conduct a preliminary investigation upon receipt of a report. (Newly established on May 12, 2011)
- (2) In principle, research misconduct reports are processed regardless of the statute of limitations. (Amended on April 29, 2015)
- (3) If the Committee determines that a preliminary investigation is necessary, it shall appoint 3 or fewer experts in the relevant field as preliminary investigators within 10 days of receiving the report, and the term of office shall be until the completion of the task. (Newly established on May 12, 2011)

Article 11. Period and Method of Preliminary Investigation

- (1) The preliminary investigation shall commence within 30 days of the date of notification, and the report shall be submitted to the Committee within 30 days of the start of the investigation. (Amended on May 12, 2011) (Amended on January 13, 2023.)
- (2) In the preliminary investigation, the following items shall be reviewed:
 1. Whether or not the contents of the report are in accordance with research misconduct in Article 4 (1)
 2. Whether or not the contents of the report are specific and clear, and whether or not there is a need and benefit to conduct a main investigation

Article 12. Reporting of Preliminary Investigation Results

- (1) The Committee shall decide whether or not to commence a main investigation and the related procedures within 10 days of receiving the preliminary investigation report, and shall notify the whistleblower in writing. However, if the whistleblower is anonymous, it shall not do so. (Amended on May 12, 2011)
- (2) If the Committee decides to commence a main investigation, it shall notify the respondent

in writing of the related procedures and the preliminary investigation results within the same period as in the preceding paragraph, and shall give the respondent an opportunity to make a statement. (Newly established on May 12, 2011.)

- (3) The preliminary investigation results report shall include the following items: (Amended on April 29, 2015)
1. Specific content of the report
 2. Research misconduct allegations and related research projects that were the subject of the investigation
 3. Whether or not a main investigation will be conducted and the basis for the judgment
 4. Other relevant evidence
- (4) The Committee may make a judgment without going through a main investigation if the respondent acknowledges all of the facts of research misconduct. (Newly established on January 13, 2023.)

Article 13. Commencement and Period of Main Investigation

- (1) The main investigation shall be commenced within 30 days of the Committee's decision to commence the main investigation, and the main investigation committee shall be formed. (Amended on May 12, 2011)
- (2) The main investigation shall be completed within 90 days of the start of the investigation, including the submission of the main investigation results report. (Amended on January 13, 2023.)
- (3) If the Main Investigation Committee deems it impossible to complete the investigation within the period specified in paragraph 2, it may extend the period for a maximum of 30 days with the approval of the Committee. (Amended on May 12, 2011)

Article 14. Composition and Resolution of the Main Investigation Committee

- (1) The Main Investigation Committee shall consist of at least 5 members, including the chairman, and the term of office shall be until the completion of the task. (Amended on May 12, 2011) (Amended on January 13, 2023.)
- (2) The chairman of the Main Investigation Committee shall be elected from among the members of the Main Investigation Committee. (Newly established on May 12, 2011)
- (3) When forming the Main Investigation Committee, all of the following conditions must be met: (Amended on January 13, 2023.)
1. The ratio of outsiders in the entire investigation committee should be more than 30%
 2. The investigation committee shall consist of more than 50% of experts in the relevant research field, and at least one external expert from a different organization must be included.
- (4) A person who has a conflict of interest with the matter under investigation shall not be

included in the Main Investigation Committee. (Amended on May 12, 2011)

- (5) The Main Investigation Committee shall decide the results of the investigation by a majority of the present members and a majority of the present members. (Amended on May 12, 2011.) (Amended on January 13, 2023.)

Article 15. Request for Appearance and Submission of Materials

- (1) The Main Investigation Committee may request written questions or appearance for statements from the whistleblower, respondent, witness, or reference, and in this case, the respondent must respond. (Amended on May 12, 2011)
- (2) The Main Investigation Committee may request the submission of materials from the respondent, and for the preservation of evidence, it may obtain the approval of the President through the Committee to restrict the entry of research misconduct-related persons to the laboratory, seize and store the relevant research materials, etc. (Amended on May 12, 2011)

Article 16. Protection of the Rights and Confidentiality of Whistleblowers and Respondents

- (1) In no case shall the identity of the whistleblower be disclosed directly or indirectly, and the name of the whistleblower shall not be included in the investigation results report unless absolutely necessary for the protection of the whistleblower.
- (2) If a whistleblower has suffered a disciplinary sanction, discrimination in working conditions, unfair pressure or harm due to reporting research misconduct, the damage shall be restored to its original state or the measures required by the whistleblower shall be taken.
- (3) A whistleblower who reports a false report, knowing or knowing that it is false, is not covered by the protection. (Newly established on May 12, 2011)
- (4) If a whistleblower requests to be informed of the procedures and schedule that will be followed after reporting research misconduct, they should respond faithfully. (Newly established on January 13, 2023.)
- (5) Care should be taken not to infringe on the reputation or rights of the respondent until the verification of research misconduct is complete. (Amended on May 12, 2011)
- (6) The allegation against the respondent for research misconduct shall not be disclosed to the public prior to the judgment, and if the respondent is found not guilty, efforts shall be made to restore the reputation of the respondent. (Newly established on May 12, 2011.) (Amended on January 13, 2023.)
- (7) Persons who have directly or indirectly participated in the investigation and the members of the Committee and related faculty members shall not disclose any information obtained during the investigation and the course of their duties. (Amended on May 12, 2011.) (Amended on January 13, 2023.)

Article 17. Submission of the Main Investigation Results Report

- (1) The Main Investigation Committee shall submit the Main Investigation Results Report to the Chairman. (Amended on May 12, 2011.) (Amended on January 13, 2023.)
- (2) The Main Investigation Results Report shall include the following items: (Amended on January 13, 2023.)
 1. Report content
 2. Research misconduct allegations and related research projects that were the subject of the investigation
 3. The role of the respondent in the relevant research project and the facts of the allegations
 4. Relevant evidence and witnesses
 5. The arguments of the whistleblower and the respondent on the investigation results and the results of the processing
 6. List of main investigation members (amended on May 12, 2011)

Article 18. Judgment and Objection

- (1) The Committee shall confirm the results of the main investigation of the Main Investigation Committee within 6 months from the start of the preliminary investigation and notify it to the whistleblower and the respondent in writing. However, if the Committee deems it difficult to confirm and notify the results of the main investigation of the Main Investigation Committee within this period, the Committee may notify the reason to the institution that transferred the fact of the report, the whistleblower and the respondent, and extend the period. (Amended on January 13, 2023.)
- (2) A whistleblower or respondent may file an objection in writing within 30 days of receiving the results of the preliminary investigation or the main investigation if they have any objections to the results. (Amended on January 13, 2023.)
- (3) If an objection is filed within the period specified in paragraph 2, the Committee may, after a resolution of the Committee, decide that the objection is valid, and the Committee may request a re-investigation to the Main Investigation Committee, and the Main Investigation Committee shall submit a re-investigation report to the Committee within 30 days. (Newly established on May 12, 2011.) (Amended on January 13, 2023.)
- (4) If a re-investigation is conducted, the Committee shall review and confirm the re-investigation report based on the results of the re-investigation of the Main Investigation Committee. (Newly established on May 12, 2011.) (Amended on January 13, 2023.)
- (5) No further objections may be filed against the re-investigation report. (Newly established on May 12, 2011.)

Chapter 4. Post-verification measures

Article 19. Report and Action on the Results

- (1) The Committee shall submit a final results report to the President after completing all procedures for judgment and objection, and may propose disciplinary measures against the person involved in research misconduct to the President. (Amended on May 12, 2011.) (Amended on January 13, 2023.)
- (2) The President shall respect the Committee's proposal as much as possible. (Amended on May 12, 2011)

Article 20. Report to the Head of the Competent Central Administrative Agency

- (1) The Committee shall report to the head of the competent central administrative agency within 10 days of confirming the final results report after conducting a preliminary investigation and a main investigation on the results of the national research and development project. (Amended on January 13, 2023.)
- (2) Notwithstanding the provisions of paragraph 1, the following matters shall be reported to the head of the competent central administrative agency immediately, even during the investigation. (Amended on January 13, 2023.)
 1. In the event of a violation of the law or the relevant regulations
 2. In the event of a serious risk to the public welfare or safety, or in the event that there is a clear risk of such occurrence
 3. In other cases where action by the competent central administrative agency or the public authority is required

Article 21. Storage and Disclosure of Records

- (1) Records related to the preliminary investigation and the main investigation shall be kept at the Research Information Center and shall be kept for 5 years after the completion of the investigation. (Amended on September 15, 2017)
- (2) The investigation report may be disclosed after the judgment is made, but information related to the identity, such as the names of the whistleblower, the main investigator, the witness, the reference, and the person who participated in the consultation, may be excluded from the disclosure target if it is likely to cause disadvantage to the party. (Amended on May 12, 2011.) (Amended on January 13, 2023.)

Article 22. Application of the Ministry of Education Instruction

In matters not regulated by this regulation, the Ministry of Education Instruction on Research Ethics Assurance shall apply. (Amended on January 13, 2023.)

Supplement

This regulation shall take effect on December 27, 2006.

Supplement

Article 1. (Effective Date) This regulation shall take effect on February 10, 2011.

Article 2. (Transitional Measures) Research integrity verifications processed in accordance with the regulations prior to the amendment of this regulation shall be deemed to have been processed in accordance with this regulation.

Supplement

Article 1. (Effective Date) This regulation shall take effect on May 12, 2011.

Article 2. (Objection to the Judgment of the Investigation Results) In the case where the party to the investigation results completed prior to the amendment of this regulation objects to the judgment of the investigation results, a re-investigation may be conducted once within 6 months from the date of implementation of the regulation.

Supplement

Article 1. (Effective Date) This regulation shall take effect on April 29, 2015.

Article 2. (Transitional Measures) Notwithstanding the amended regulation of Article 10 (2), reports of research misconduct that occurred more than 5 years prior to the implementation of this regulation shall not be processed; Provided, however, that if the respondent directly re-cites the results and uses them for the planning and application of follow-up research, the performance of research, the reporting and presentation of research results after the day 5 years before the implementation of this regulation, and if there is a risk of danger to public welfare or safety, it shall be processed.

Supplement

This regulation shall take effect on September 15, 2017.