

Research Ethics Regulations of Global Development Foundation

Chapter 1. General Rules

Article 1 (Purpose) The purpose of these regulations is to set down all the matters regarding implementation of the research ethics of the Global Development Foundation (hereinafter called the “Foundation”) by the executives and members of the Foundation in their researches and external activities and prevent their research misconduct in advance.

Article 2 (Application) These regulations apply to all executives and members related directly and indirectly to research activities in the Foundation. It will also apply to non-members who contribute to the academic journal issued by the Foundation or present at academic conferences hosted by the Foundation.

Article 3 (Scope of Application) These regulations are applied except in the case that there are other special regulations concerning establishing research ethics and verifying the integrity of research.

Article 4 (Definition of terms) ① Research misconduct (hereinafter called “Misconduct”) refers to forgery, falsification, plagiarism, unfair indication of the author, etc. made in research development and publication.

1. “Forgery” means an act to falsely create or manipulate data or research outcome.
- 1.
2. “Falsification” means an act to distort research content or outcome by artificial manipulation of research material, equipment or process, or by arbitrary modification or deletion of data.
- 3.
4. “Plagiarism” means an act to illegally use ideas, research content or outcome of others without valid approval or quotation. The specific examples are as follows.
5.
 - (1) Using the texts, words, ideas, etc. from articles and books of others without proper quotation.
 - (2) When the quoting is not complete by missing the exact page(s) of the source

(3) Using the original text of other research without the quotation mark despite of appropriate source quotation.

6. “Duplicate publication” means that an author republish more than once the whole or a part of an academic research in the same or other professional journal or in a form of a professional academic book.

5. “Unfair indication of manuscript author” means an act not to grant qualification of manuscript author to a person who has made scientific or technical contribution to research content or outcome without a valid reason, or an act to grant qualification of manuscript author to a person who has not made scientific or technical contribution as a token of appreciation or respect.

6. An act to intentionally interrupt an investigation on suspicious Misconduct of the person or other or to harm an informant.

7. An act to propose to, force, or threaten others to do the above Misconducts

8. Any other act to seriously go beyond the scope commonly permissible in the fields of Law and Social Science

② “Informant” means a person who informs the Foundation or its research ethics committee of the knowledge or supporting evidence of the Misconduct.

③ An “examinee” is a person who is subject to investigation by the information from an informant or the knowledge of the Foundation, or a person who is subject to investigation because he/she is suspected to have participated in the Misconduct. But a reference or a witness in the process of investigation is not an examinee.

④ The “preliminary review” means a procedure for determining whether a formal investigation is necessary for the suspected Misconduct.

⑤ The “formal investigation” refers to a procedure to verify the suspected Misconduct.

⑥ The “judgement” refers to a procedure to confirm the investigation result and notify it to the informant and the examinee.

Chapter 2. Establishment and operation of Research Ethics Committee

Article 5 (Research Ethics Committee) The Foundation establishes the Research Ethics Committee (herein after called the “Committee”) under it, which promotes research ethics of the Foundation and is in charge of details related to prevention, investigation and handling of the Misconduct.

Article 6 (Composition the Committee and Term its members) ① The Committee is composed of six members, including the chairman, whose term is one year and they may serve two consecutive terms.

② The Committee shall have a secretary who is in charge of administration of the Committee.

③ The chairman, committee members and the secretary of the Committee shall be appointed by the chairman of the board of the Foundation.

Article 7 (Functions of the Committee) The Committee reviews and approves the following:

1. Matters related to establishment and operation of a system (an institution) regulating research ethics and integrity
2. Matters related to the procedure of receiving and handling information on the Misconduct
3. Matters concerning the commencement of the preliminary review and the formal investigation and the approval of the investigation result
4. Matters related to the protection of the informant and the recovery of the examinee’s honor
5. Matters related to handling (processing) of the investigation result on the Misconduct and the follow-up procedure
6. Any other matters related to research ethics that proposed by the chairman to be reviewed by the Committee

Article 8 (Chairman) The chainman shall represent the Committee, convene meetings of the Committee and become its chair.

Article 9 (Meetings) ① The Committee shall decide in the meeting by the approval of two-third or more of attended members with the attendance

of more than a half of the members.

- ② The chairman may substitute a meeting with a written review when the case is considered negligible.
- ③ If necessary, the Committee may have the relevant person present and listen to his/her opinion.

Chapter 3 Procedures of research ethics and integrity verification

Article 10 (Reporting and receiving information on the Misconduct) ① The informant can report to the Foundation or the Committee in any possible means such as verbally in or writing by telephone or e-mail, which in principle shall be made in his/her real name. However, if the informant wants to report the Misconduct anonymously, he /she shall provide the title of the manuscript or research project, specific contents and relevant evidence of the Misconduct.

② The informant who did not report it despite of knowing or being able to know that the content of the report about the Misconduct is clearly false shall not be subject to protection.

Article 11 (Period and method of preliminary review) ① The preliminary review shall begin within 15 days from the date when the allegation is received and shall be completed within 30 days from the date when the investigation started and approved by the Committee.

② The preliminary review shall examine the following:

1. Whether the allegation from the informant corresponds to the Misconduct described in Article 4, Clause 1
2. Whether the allegation is specific and clear enough so that the formal investigation is necessary and gives real benefits.
3. Whether the date when the allegation is reported has elapsed five years from

③ The preliminary investigation shall be conducted by a subcommittee composed of three members from the Committee appointed by the chairman, and, if necessary, the investigation can be conducted by relevant experts.

Article 12 (Reporting the preliminary review result) ① The preliminary review results shall be notified to the Korea Research Foundation and the informant within ten days after obtaining approval of the Committee. However, if the informant is anonymous, the notification shall be omitted.

② The report of preliminary review results shall include the following

1. The contents of the allegation reported
2. The allegation of the Misconduct under investigation and related research project
3. Other relevant evidence

Article 13 (Start and Period of formal investigation) ① The formal investigation shall be commenced within 30 days after the approval of the preliminary review results by the Committee and a committee to conduct the investigation (hereinafter called the “Investigation committee”) shall be organized.

② The formal investigation, including the judgement, shall be completed within 90 days from the date when the investigation started.

③ If the Investigation committee determines that the investigation cannot be completed within the period of paragraph 2, it shall explain the reason to the Committee and request an extension of the period.

Article 14 (Composition of the Investigation committee)

① The Investigation committee shall be composed of seven or more members.

② The Investigation committee shall have four or more persons with expertise and experience in the subject field, and shall include two or more external personnel who are not members of the Foundation as well to secure fairness and objectivity.

③ A person who has a conflict of interest with the investigation shall not be a member of the Investigation committee.

④ The list of Investigation committee members shall be notified to the

informant before the commencement of the investigation and shall take it into account if the informant makes a legitimate objection regarding the members of the investigation committee.

Article 15 (Request for attendance and submission of relevant materials) ① The Investigation committee may request the informant, the examinee, the witness and the reference to present for their statements and the examinee must comply with the request.

② The Investigation committee may request the examinee to submit relevant materials and seize them under the approval of the head of his/her organization.

Article 16 (Protection of rights of the informant/the examinee and Confidentiality)

① In any circumstance, the identity of the informant shall not be disclosed directly or indirectly and his/her name shall not be included in the report of the investigation results except when it is absolutely necessary to protect the informant.

② When the informant receives any disciplinary measure or punishment, disadvantage in status, discrimination in working condition, undue pressure or physical threats, the Committee shall make efforts for him/her to take necessary measures (steps).

③ Until the verification process of the Misconduct is completed, care shall be taken not to violate the honor or rights of the examinee and appropriate efforts shall be made to restore his/her honor when it turns out that he/she is not related with the Misconduct.

④ Any matters related to the investigation, such as the report of allegation, inspection, review, decision and recommendation, etc. shall be kept secret. All persons who participated in the investigation directly or indirectly or those related with the investigation shall not disclose any information obtained in the process of investigation and implementing their jobs. However, if there is a reasonable reason, it may be disclosed through the approval of the Committee.

Article 17 (Guaranteeing rights of objection and defense) The Investigation committee shall ensure (guarantee) equal rights and opportunities for statements, objections and defenses to both the informant and the examinee.

Article 18 (Submission of the report of the formal investigation result)

- ⑤ The Investigation committee shall prepare the report of the formal investigation results (hereinafter called the “Final report”) and submit it to the Committee
- ⑥ The Final report shall include the following:
 - 1. The allegation of the Misconduct reported
 - 2. The Misconduct under investigation and the research project related to it
 - 3. The role of the examinee for the article in which the suspected Misconduct has been made and the verification of the suspected Misconduct
 - 4. The relevant evidence and testimony
 - 5. Objections and defense made by both the informant and the examinee on the investigation results and the result of how their objections and defense have been dealt
 - 6. The list of the Investigation Committee members

Article 19 (The Judgment) ① After obtaining the approval of the Committee, the Investigation Committee shall confirm the contents and the results of the Final report and notify them to the informant and the examinee.

- ⑦ If a consensus is not reached on the contents and the results of the investigation, the decision can be made through voting. In this case, the decision is made by more than half of the committee members and approval of more than two-third of the committee members present.

Chapter 4 Post Management (or Follow-up Measures)

Article 20 (Reporting to the Korea Research Foundation) The contents of the Final report shall be reported to the Korea Research Foundation within ten days after the judgement has been made

Article 21 (Actions on the Judgement result) ① The Committee may recommend the chairman of the board to take disciplinary actions against the person who committed the Misconduct.

② The chairman of the board shall decide the following disciplinary actions and notify them to the author(s) committed the Misconduct in writing:

- 1. Warn by sending a letter of caution when it is recognized that the above guidelines are violated by a simple mistake.
- 2. Papers involved in the Misconduct shall be deleted from the ‘Journal of Saemaul and International Development’, a journal published by the Foundation

3. The author of the manuscript shall be deprived of his/her membership of the Foundation and not be allowed to submit manuscripts to the Journal for the next five years.

Article 22 (Keeping and Opening Records)

- ① The records relevant to the preliminary review and the formal investigation shall be kept for five years after the final judgement has been made at the Foundation.
- ② The Final report is allowed to be opened after the judgement has been made. However, any information related to the identity of the informant, the investigation committee members, witnesses, references (testifiers) and the persons who participated in advising may be excluded from being disclosed if making the records public might cause disadvantage to them.

23. (Measure to Prevent the Misconduct such as Plagiarism) To prevent any violation of research ethics, such as plagiarism or duplicate publication of papers, the Foundation notices the research ethics regulations to the members in the general meeting, meetings of the steering committee and at academic conferences hosted by the Foundation. The Foundation shall make efforts consistently to promote (uphold) the research ethics by using newsletters of the Foundation such as 'The Foundation Newsletter'.

Article 24 (Compliance and Other Matters) Matters concerning research ethics not covered by these Regulations shall be subject to the decision of the Committee or the Steering Committee of the Foundation.

Supplementary Provisions (2020.00.00)

Article 1 (Enforcement Date) These regulations shall be enforced from the date when they are enacted.

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