

# Research Ethics Regulation

## Preamble

This research ethics regulation ("Regulation") is created to provide a set of ethical standards to be observed by authors, reviewers and editors with regard to the publication of the collection of articles and present definitions of illegal practices and methods in order to maintain a higher level of ethics for the Korean Institute of Illuminating and Electrical Installation Engineers ("KIIEE") and to contribute to the continued growth of the KIIEE. All members of the KIIEE shall observe this Regulation to ensure fairness in the review and publication of the collection of articles and promote ethical standards in science and technology research.

## Chapter 1 Ethics Regulations of Authors, Reviewers and Editors

### Article 1 (Ethics Regulation of Authors)

Authors of articles shall observe the following provisions in writing and submitting articles.

1. Authors shall ensure the observance of universal principles such as respect of human rights, observance of life ethics, and environmental protection in performing research related to the submitted articles.
2. Authors shall describe research content and its significance in their submitted articles accurately and specifically, and shall not distort research results.
3. Submitted articles shall include research of sufficient academic value and supporting evidences. Articles that draw conclusions similar to those of existing articles shall have sufficient academic value in their new arguments and grounds.
4. Division and submission of individual research content into multiple articles shall be avoided as they reduce the value of a research paper.
5. To quote published academic materials, their sources shall be clearly disclosed. To quote unpublished articles and research plans, or materials obtained through personal contact, the consent of researchers who provided such information should be secured prior to quotation.
6. Authors shall include in their bibliography important published literature and materials that are closely related to submitted articles, or help understand research content of submitted articles, except for widely publicized ones. It is also desirable to quote articles that are contrary to one's research results.
7. It is permissible to carry criticism of research articles of other researchers, but personal accusations are not allowed.
8. Use of research results of other researchers in entirety or part without listing references is prohibited as this constitutes plagiarism.
9. Articles that were submitted or published in other academic journals, or are to be submitted to or published in other academic journals shall not be submitted to this journal as it constitutes an illegal and unjustifiable act. Materials that have already been presented in domestic and foreign academic conferences that do not require transfer of copyrights, but are not published in or submitted to other academic journals including this journal may be submitted to this journal in accordance with regulations of this journal. In such event, the name of the conference for which materials were presented shall be mentioned.
10. All researchers who made significant contributions to the overall process of research shall become co-authors, and the lead authors of an article shall obtain the consent of all co-authors to draw up the list of authors. It is desirable to insert the details of non-academic, administrative and financial support and the receipt of research materials and simple academic advice in the "postscript."
11. To include individuals as co-authors who did not make academic contributions to the research or who made insignificant contributions for non-academic purposes is an immoral act that undermines academic authority.
12. The order of listing co-authors, in principle, shall be determined by the

agreement of co-authors, and it is advisable to first name researchers who have made the most significant contributions to research. The institutions of authors shall be, in principle, the institutions to which they belonged when the research was conducted.

13. In the case where approval is required with regard to copyrights, etc., authors shall obtain approval before they submit articles, and shall ensure that no disputes will occur that arise out of contracts or copyrights that would be affected by the publication of articles.
14. Authors shall observe the regulations determined by the KIIEE and internationally accepted principles during the review of submitted articles. Furthermore, authors shall accept review results of editors and reviewers and make their best efforts to incorporate such review results to submitted articles; and, in the case that the authors do not agree with review opinions, they shall present clear grounds for such objection to the relevant editor.
15. In the case where the publication of an article is rejected and there are clear and reasonable grounds for raising objection to review results, the authors may raise an appeal. However, raising an appeal out of personal emotion without evidence or with weak evidence is not desirable.
16. If errors are found in the submitted articles, the authors shall modify them or withdraw submission if the errors are significant.
17. Qualification as an author
  - Substantial contributions to the conception or design of the work ; or the acquisition, analysis, or interpretation of data for the work.
  - Drafting the work or revising it critically for important intellectual content.
  - Final approval of the version to be published.
  - Agreement to be accountable for all aspects of the work in ensuring questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved
18. Conflict-of-Interest policy statement
  - An author and any institution to which the author is affiliated, reviewers, or editor

shall not exercise improper influence in relation to the publishing of a paper due to monetary relationship or personal relationship, etc.

- Anybody related to publishing of a paper shall not grant mutual benefit or monetary reward.
- Employment relationship, providing consulting, owning shares, providing monetary reward, providing specialist's paid witness statement, etc. can be included in monetary relationship.
- In case of any conflict of interest between authors, it should be described in the paper, so that editor, reviewers and editor in chief would understand the background for the study that involves such conflict. Furthermore, the ethics committee shall be convened to mediate the dispute from such conflict of interest. The ethics committee shall mediate, after sufficient review on issues such as the cause and background of the conflict of interest, the explanation by the author, etc.

## **Article 2 (Ethics Regulation for Reviewers)**

Reviewers shall follow the following ethics regulation to assess the submitted articles.

1. Reviewers shall examine the submitted articles with consistence, objectiveness and fairness, without prejudice related to sex, age, organizations or the personal relationship of the authors, and shall not assess articles based on personal belief or assumptions that are unproven.
2. Reviewers shall not disclose to any third party or use information acquired in the process of review in order to protect the confidentiality of articles. Quoting content of articles without the consent of authors prior to publication shall be prohibited.
3. Reviewers shall respect authors as professionals, avoid personal and subjective assessment or unpleasant expressions, and write objective review opinions with academic modesty and polite language. However, reviewers shall clearly present opinions on the submitted articles, and indicate content or part of an article that requires revision with reasonable support.
4. Reviewers shall not request authors to provide additional materials or clarifications to pursue their personal objectives.

5. In the case where content similar to an article published in other journals is detected in the submitted article without mentioning references, the reviewers shall inform the editors of such finding.
6. In the case where reviewers have a conflict of interest to the submitted articles or their areas of expertise are not appropriate to review the submitted articles, they shall notify such situation to the relevant editor without delay so that they can be replaced by other reviewers. In the event where reviewers are unable to complete a review within the fixed deadline, they shall notify the editor of the reasons.

### **Article 3 (Ethics Regulation for Editors)**

Editors shall follow the following ethics regulation to examine and assess submitted articles.

1. Editors shall assess submitted articles in accordance with relevant regulations fairly and objectively, without prejudice to sex, age, race, and affiliations of authors, or personal relationship with authors.
2. Editors shall decide whether to reassess or publish submitted articles through consistent guidelines based on the review opinions of reviewers on submitted articles.
3. In the event where an editor's lack of expertise on submitted articles is likely to lead to difficulty in making a decision on reviews, the editor may obtain advice from professionals with expertise in the area.
4. Editors shall not disclose or use information acquired in the course of a review process to any third party. Quoting content of a submitted article prior to publication without authorization from its author shall be prohibited.
5. Editors shall be responsible for supervising unethical acts on the part of authors and reviewers, and any finding of improper action shall be disclosed to the editor-in-chief without delay to ensure investigation and due penal procedure are taken.
6. In the event where submitted articles have a potential conflict of interests with editors, editors shall report such fact to the editor-in-chief so that they can be replaced by other editors.
7. In the case where editors are unable to perform their responsibilities properly, they

shall report to the Secretariat of the KIIEE, publisher, or editor-in-chief.

8. In the event where unethical acts are found, or petitions about unethical acts are received with regard to submitted articles or in the process of review, the editor-in-chief shall assess the seriousness of those acts, and, when deemed necessary, form an investigation committee comprising five to ten editors in relevant areas. The editorial committee shall determine punitive actions based on the report of the investigation committee, and, if the articles were published, the publication of articles concerned may be revoked retroactively.

## **Chapter 2 Misconduct (Definition, Verification, Measure)**

### **Article 1 (Scope of Research Misconducts)**

Research misconduct (hereinafter referred to as "misconduct") refers to plagiarism, falsification, and unfair indication of authors, duplicated research, duplicated publication, false public statement, improper authorship, obstruction of investigation into misconduct, or attack on informants of such misconduct, that occur in the course of proposal, performance, reports, and announcement of research articles.

### **Article 2 (Definition of Research Misconducts)**

① "Fabrication" is to fabricate data or research results that do not exist.

② "Falsification" is to manipulate research materials, equipment or processes, etc. or modify or delete data intentionally, leading to distortion of research content and results.

③ "Plagiarism" is a wrongful appropriation, and stealing and publication of ideas, research content, results of another author without due authorization or references, and the various types of plagiarism are defined as follows.

1. (Idea plagiarism) Idea plagiarism refers to stealing of the ideas (explanations, theories, conclusions, hypotheses, or metaphors of another author by borrowing or modifying them in entirety or in part without acknowledging the author. In general, authors must indicate their sources of ideas in footnotes or citations, and authors should not use in their own research ideas made available

to them through peer reviews of research proposals or contributions of other authors.

2. (Verbatim plagiarism) "Verbatim plagiarism" refers to copying of parts of texts, formulas, diagrams, tables, and pictures of another author without indicating their source.
3. (Mosaic plagiarism) "Mosaic plagiarism" refers to a combination of parts of texts, formulas, diagrams, tables and pictures of others, addition or insertion of additional content to them, or replacement of words with synonyms without disclosing their original sources and authors.
4. (Self-plagiarism) "Self-plagiarism" refers to the use of content from an author's previous publications without disclosing the source.
- ④ "Unfair indication of authors" refers to not granting authorship to researchers who made scientific, technological contributions to the content and results of a research article without due grounds, or granting authorship to persons who did not make scientific and technological contributions.
- ⑤ "Duplicated research" refers to splitting a research topic into two or more research projects.
- ⑥ "Duplicated publications" refers to publishing articles with the same content in two or more academic journals, and is defined as each of the following cases.
  1. Overlapping of the same content in a current publication and previous publications of the same author despite current publication containing texts exhibiting slightly different views from previously published publications or employing slightly different analysis of previously published data.
  2. Depending on the stage of research, presenting an article first to the KIIEE conferences, and later submitting the same article that has been further refined to the KIIEE journal. However, the article to be submitted to the journal may provide in footnotes or bibliography, etc., details regarding the KIIEE academic conference where the initial version of the article was presented.
- ⑦ "False public statement" refers to a false representation of the education, career, qualifications, research results and history, etc. of an author.

### **Article 3 (Unethical Research Act)**

The following acts are instances of acts that

are ethically inappropriate.

- ① Presentation of a research article at a conference or seminar without duly disclosing the article is collaborative research
- ② Announcement of research results to the media without going through due verification procedure
- ③ Distortion of interpretations and expected effects of a research project to secure financial support

### **Article 4 (Inappropriate Writing)**

The following are examples of inappropriate writing.

- ① Inappropriate citation of sources
- ② Distortion of bibliography
- ③ Use of abstracts while citing published articles
- ④ Citation of sources of articles that were not read or understood by authors
- ⑤ Citation of only parts of sources while heavily borrowing content from a single source
- ⑥ Text recycling
- ⑦ Division of a single article into multiple articles in order to increase the volume of research results

### **Article 5 (Distortion of Bibliography)**

- ① A bibliography shall include only literature directly related to articles.
- ② Authors shall not include in the bibliography only literature in support of their data or theories, but shall also include literature that may contradict their views.

### **Article 6 (Text Recycling)**

- ① Text recycling refers to the reuse of parts of texts, formulas, diagrams, tables, and pictures that were already carried in the author's own previous publications.
- ② To reuse texts, authors shall follow standard citation practices such as use of quotation marks or a proper paraphrase to avoid breach of copyrights.

### **Article 7 (Other Inappropriate Acts)**

The following are examples of improper acts.

- ① Failure to report or disclose to readers important related evidences that are not compatible with the author's data or views
- ② Citation of the research of other authors that have defects in methodology, statistical procedure, or other aspects as evidence of proof

③ Intentional distortion or unclear description of research methods such as design of sampling so that other researchers cannot reproduce results

#### **Article 8 (Reporting Allegations of Misconduct)**

Alleged research misconduct may be reported to the chairman or head of an editorial committee via verbal, writing, phone or email and reports shall disclose the identity of the informant.

#### **Article 9 (Consideration of Necessity for Investigation)**

The Editorial Committee shall decide whether the reported research misconduct breaches this Regulation, and, if deemed necessary to examine the authenticity of the reported research, shall request the Board of Directors to approve installation of a Research Ethics Investigation Committee (hereinafter referred to as "investigation committee").

#### **Article 10 (Installation of a Research Ethics Investigation Committee and Term of the Committee Members)**

① The Board of Directors shall decide to install an investigation committee proposed by the Editorial Committee when it considers it necessary and reasonable.

② The investigation committee shall comprise five to ten members including the Vice Chairs, Director for General Affairs, and Editing Director, and the investigation committee shall be formed no later than four (4) weeks after the Board of Directors' decision.

③ The head of the investigation committee shall be appointed from among the Vice Chairs by the Chairman, and the vice head and secretary shall be selected by the investigation committee.

④ The investigation committee shall conduct investigative activities for eight (8) weeks from inauguration, and the term of members shall expire upon the termination of activities of the investigation committee.

#### **Article 11 (Matters to be implemented by a Research Ethics Investigation Committee)**

① The investigation committee shall deliberate on and decide the following matters.

1. Establishment and operation of systems and rules related to research ethics
2. Receipt and processing of misconduct reports
3. Approval of the launch of investigation and investigation results
4. Processing of research integrity verification results and subsequent measures
5. Other matters regarding research ethics proposed by the head of the investigation committee

#### **Article 12 (Verification Meeting)**

① The head of the investigation committee shall call the convening of the committee meetings and shall become the chairman of the committee.

② The investigation committee meeting shall make a decision by the presence of a majority of members and the affirmative voting of the majority of members present. However, the head of the committee shall be included as among members of the committee present, but has no voting right.

③ The head of the investigation committee may replace the meetings with a written deliberation when the agenda is deemed as not significant.

④ Meetings of the investigation committee shall not be open and, when necessary, may allow the attendance of non-members to solicit their opinions.

#### **Article 13 (Request for Attendance and Submission of Materials)**

The investigation committee may request informants, respondents, witnesses and references to attend meetings, make statements, and request respondents to submit materials. If attendance is not possible, a statement that renounces the rights to make a statement shall be submitted to the head of the investigation committee.

#### **Article 14 (Protection of Rights of Informants and Respondents and Confidentiality)**

① Under any circumstances, the identity of informants shall not be disclosed either directly or indirectly, and names of informants shall not be included in an investigation results report to protect their identity except for the case where they must be disclosed.

② Until misconduct is proved, care shall be

made to ensure the reputation or rights of respondents are not undermined, and efforts shall be made to restore the honor of respondents if found innocent.

③ All matters related to a report of misconduct, investigation, consideration, decision, and recommendations shall be kept confidential, and staff members who were involved in investigations directly or indirectly shall not disclose any information they acquire in the course of investigation. However, when there is a reasonable reason for disclosure, such information may be made public by the decision of the investigation committee.

#### **Article 15 (Right to Raise Objection and Pleading)**

The investigation committee shall grant both informants and respondents opportunity to raise objections or plead, and shall inform them of the relevant procedure in advance.

#### **Article 16 (Decision)**

The investigation committee shall finalize investigation content and results following objections and pleading and notify such final results to informants and respondents. In the case that investigation content and results do not agree, a decision shall be adopted by the majority of members of the investigation committee in attendance and the affirmative vote of two-thirds (2/3) of members present.

#### **Article 17 (Measures to Be Taken)**

① Investigation results shall be approved by the investigation committee and reported to the president of the KIIEE within two (2) weeks.

② In the event the investigation results of the investigation committee confirms that a respondent committed research misconduct as defined under this Regulation, president of the KIIEE may take each of the following measures, and a decision on specific measures shall be made by the resolution of the Board of Directors.

1. Return of submitted articles. If already published, the articles shall be deleted or withdrawn
2. Restriction on submission of articles
3. Membership revocation
4. Accusation to legal authority
5. Other measures decided by the Board of

Directors

#### **Article 18 (Final Report of the Investigation Committee)**

① The Investigation Committee shall prepare and submit a final report containing their deliberations and decisions made pursuant to Article 16 and 17 above.

② The final report shall include each of the following matters.

1. Content of information reported
2. Suspicious misconduct and related articles subject to investigation
3. Role of respondents in the relevant research topic and results of verifying suspicions
4. Relevant evidences and witnesses
5. Objections and pleadings raised by informants and respondents as to investigation results
6. List of the investigation committee members

#### **Article 19 (Keeping and Disclosure of Records)**

① Records of investigations shall be retained in document form for five (5) years from the closing of investigation of the KIIEE.

② Final reports may be disclosed after a decision is made. However, information related to informants, investigation committee members, witnesses, references, and other persons who offered advice may be excluded from such disclosure as it may cause disadvantage.

#### **Article 20 (Miscellaneous)**

① Matters that are not provided for under this Regulation shall follow relevant internal regulations of the KIIEE, and other remaining matters shall be considered and decided by the Board of Directors of the KIIEE.

② To prevent misconduct in research and conduct education regarding research ethics, this Regulation shall be appropriately publicized through journals and other publications of the KIIEE.

1. This Regulation shall take effect from June 13, 2007.
2. Revision of this Regulation shall take effect from January 9, 2008.
3. Revision of this Regulation shall take effect from January 9, 2013.