

# 國立中興大學學術研究倫理規範

## National Chung Shing University Academic Research Ethics Guidelines

106.11.22日第411次行政會議訂定

107.1.10第412次行政會議修正通過（第2、3、5點）

111.8.31第450次行政會議修正通過（第1、6點）

November 22, 2017 Approved in the 411th Administrative Meeting

January 10, 2018 Revisions (Articles 2, 3, and 5) approved in the 412th Administrative Meeting

August 31, 2022 Revisions (Articles 1 and 6) approved in the 450th Administrative Meeting

- 一、國立中興大學（以下簡稱本校）為維護學術道德，避免衍生學術研究倫理爭議，依教育部「專科以上學校學術倫理案件處理原則」及國家科學及技術委員會學術倫理規範，特訂定本校學術研究倫理規範（以下簡稱本規範）。

Article 1 The Academic Research Ethics Guidelines (hereinafter, “the Guidelines”) have been formulated by National Chung Hsing University (NCHU or “the University”) in accordance with the Ministry of Education’s Principles for Handling Academic Ethics Violations in Junior Colleges and Institutions of Higher Education and the National Science and Technology Council’s Academic Ethics Guidelines to uphold academic integrity and avoid disputes arising from breaches of academic research ethics.

- 二、本規範適用對象（以下簡稱教研人員）及本校學術倫理案件權責單位如下：

- （一）本校專任教師（含研究人員）、專任客座教師、專任專案計畫教師（含研究人員）及兼任教師：人事室。
- （二）本校專、兼任計畫研究人員（包含博士後研究員、專任助理、兼任助理）及參與本校研究計畫、學術合作之相關人員及簽署約定者：研究發展處。
- （三）大學部學生、碩士班及博士班研究生（含在職專班及學程）：學生事務處、教務處。

案件同時涉及教師、學生或計畫類人員時，由人事室依本校「教師違反送審教師資格規定處理及違反學術倫理審議辦法」併同處理。

Article 2 The teaching and research personnel who are subject to the Guidelines and the NCHU units responsible for handling the related academic ethics cases are as follows:

1. Personnel Department: Full-time NCHU faculty members (including research personnel), full-time visiting lecturers, full-time project lecturers (including research personnel), and part-time lecturers.
2. Office of Research and Development: Full-time and part-time NCHU project research personnel (including postdoctoral researchers, full-time assistants, and part-time assistants) and other personnel and contracting parties participating in the University’s research projects or academic collaborations.
3. Office of Student Affairs, Office of Academic Affairs: Undergraduate students, Master’s students, and doctoral students (including students enrolled in in-service programs or other programs)

Cases that involve faculty members, students, and project personnel shall be handled as a group case by the Personnel Department in accordance with the University’s Directives for

## the Handling of Violations Against Teacher Accreditation Regulations and Academic Ethics.

三、教研人員應確保研究過程（包含但不限研究構想、執行、成果呈現）的誠實、負責、專業、客觀、嚴謹、公正，並揭露有可能損及其計畫或評審可信性之相關資訊，以落實利益迴避及避免利益衝突。進行學術研究應有態度及做法包含：

- （一）教研人員應客觀地蒐集與分析研究資料或數據，不得捏造竄改，並避免對資料或數據作選擇性處理。
- （二）應當以能夠使他人驗證和重複其工作的方式，清楚、準確、客觀、完整記錄其研究方法與數據，並於相當期間內妥善保存原始資料。
- （三）在有機會確立研究成果優先權後，應儘速公開分享其研究資料與結果。用國家研究經費所蒐集之資料，應公開給學術社群使用。
- （四）進行以生物為研究對象的研究須遵循「人體研究法」、「動物保護法」及本校人類研究倫理審查辦法等相關規定。教研人員應於取得核准研究證明後，始可正式開始研究活動並善待受試對象及實驗動物。

Article 3 Teaching and research personnel shall be responsible for maintaining accountability, professionalism, objectivity, precision, and impartiality in their research process (including but not limited to research planning and execution and the presentation of research outcomes), and shall disclose any information that may undermine the integrity of their project or the credibility of reviewers in order to avoid conflicts of interest. Academic research shall be carried out with the following principles in mind:

1. Teaching and research personnel shall be impartial when collecting and analyzing research data and information and may not fabricate or falsify data and information. Cherry-picking shall also be avoided.
2. Studies shall be reproducible and verifiable. Research data and methodology shall be unambiguous, precise, impartial, and complete, with the original data retained for a specified period of time.
3. After establishing the priority of research outcomes, the research data and results shall be disclosed as soon as possible. Information collected with national research funds shall be made available for use by the academic community.
4. Research projects with living subjects shall be conducted in compliance with the Human Subjects Research Act, the Animal Protection Act, and the University's Regulations for Human Research Ethics Reviews. Teaching and research personnel shall obtain proof of research authorization before proceeding with research activities and shall treat human and animal subjects with respect.

四、研究上的不當行為包含範圍甚廣，本規範主要涵蓋核心的違反學術倫理行為，即造假、變造、抄襲、研究成果重複發表或未適當引註、以違法或不當手段影響論文審查、不當作者列名等。為避免研究上的不當行為發生，應遵守以下規範：

- （一）引用他人資料或論點時，須尊重智慧財產權，註明出處，避免誤導使人過度認定自己的創見或貢獻。如有相當程度地引用他人著述卻未引註而足以誤導者，將被視為抄襲。
- （二）研究計畫或論文均不應抄襲自己已發表之著作。研究計畫中不應將已發表之成果當作將要進行之研究。論文中不應隱瞞自己曾發表之相似研究成果，而誤導審查人對其貢獻與創見之判斷。自我抄襲是否嚴重，應視抄襲內容是否為著作中創新核心部

分，亦即是否有誤導誇大創新貢獻之嫌而定。

- (三) 一稿多投將造成審查資源的重複與浪費，應該避免。研究計畫亦應避免以相同內容重複申請補助。同一研究計畫若同時申請不同經費，應於計畫中說明。如果均獲通過且補助內容重疊，應擇一執行。若計畫內容相關但有所區隔，應明確說明。
- (四) 共同作者應為對論文有相當程度的實質學術貢獻（如構思設計、數據收集及處理、數據分析及解釋、論文撰寫）始得列名。基於榮譽與共的原則，共同作者在合理範圍內應對論文內容負責，共同作者一旦在論文中列名，即須對其所貢獻之部分負責。
- (五) 研究人員不得有影響論文審查之違法或不當行為。研究人員參與同儕審查時，應保密並給予及時、公正、嚴謹的評價，並遵守利益迴避準則。審查中所獲研究資訊，不應在未獲同意之下洩露或用於自身之研究。

Article 4 Research misconduct covers a wide range of actions. The Guidelines mainly focus on violations of core academic ethics: fabrication, falsification, plagiarism, self-plagiarism, insufficient citations, illegal or inappropriate influence on the peer review process, inappropriate author order, etc. The following rules shall be complied with to avoid research misconduct.

1. Sources must be cited and intellectual property rights respected when quoting the data or claims of other studies to prevent others' research outcomes from being misconstrued as original ideas or contributions. Failure to cite the sources for significant amounts of quoted text will be deemed plagiarism if the lack of citations is considered misleading.
2. Self-plagiarism of research projects or academic papers shall be avoided. Previously published research outcomes shall not be presented as new research in another project and the publication of said research outcomes shall not be concealed to mislead reviewers and inflate the innovativeness and contributions of the project. The severity of self-plagiarism is determined by whether the plagiarized contents are the core innovations of the paper and whether the plagiarized contents are misleading or exaggerate the original contributions of the paper.
3. Multiple submissions cause waste of review resources and redundancy and should be avoided. Multiple grant applications for the same research project shall also be avoided. If applying for different research grants for the same research project, the multiple applications shall be noted in the project proposal. When multiple grants are approved for the same project, the project shall only be eligible for one grant. Differences between similar projects shall be explicitly specified.
4. Project personnel must make significant academic contributions to a paper (e.g., research conception and design, data acquisition, data analysis and interpretation, and paper writing) in order to be listed as co-authors. To promote both recognition and accountability, once a researcher is listed as a co-author, they shall be held accountable for their contributions to the paper within a reasonable scope.
5. Researchers may not exert an illegal or inappropriate influence on the peer review process. Researchers who are conducting peer review shall maintain confidentiality, give timely, unbiased, rigorous assessments, and avoid conflicts of interest. Research data obtained in the review process shall not be disclosed or used in the reviewers' research without consent.

五、若發現涉嫌偽造、篡改、剽竊或其他違反學術倫理的研究行為，教研人員有責任向適當主管單位舉報。

研究不當行為及違反學術倫理規範者，將依本校違反學術倫理案件處理程序，進行案件調查、審議及懲處作業。

涉及違反學術倫理經查證屬實者，其聘任單位應建立輔導及教育機制，並落實處分內容之執行。

Article 5 Teaching and research personnel are obligated to report any suspected fabrication, falsification, or plagiarism of research or other violations against academic ethics to the competent authorities.

Research misconduct and violations against academic ethics shall be handled through investigation, deliberation, and disciplinary action in accordance with the University's Procedures for Handling Academic Ethics Violations.

If a purported violation against academic ethics is found to be true, the employing unit of the violator shall establish a guidance and intervention mechanism and enforce disciplinary action.

六、本規範未盡事宜，依教育部「專科以上學校學術倫理案件處理原則」、國家科學及技術委員會學術倫理規範或政府機關相關規定辦理。

Article 6 Matters not addressed herein shall be handled in accordance with the Ministry of Education's Principles for Handling Academic Ethics Violations in Junior Colleges and Institutions of Higher Education, the National Science and Technology Council's Academic Ethics Guidelines, and other applicable rules stipulated by government agencies.

七、本規範經行政會議通過後實施，修正時亦同。

Article 7 The Guidelines shall take effect upon approval by the Administrative Meeting. The same shall hold true when amendments are made.