

# Detailed Rules on Research Security Management

Established December 1, 2008

**Article 1 (Purpose)** The purpose of the Detailed Rules herein is to regulate matters needed for implementation, such as security standards for research records produced during research activities and research, and the stipulation of security activities required for research projects in accordance with the Regulations on Security of Pohang University of Science and Technology (hereinafter referred to as the University) and the relevant legislations.

**Article 2 (Applicable Scope and Objects)** The Detailed Rules herein shall apply to various research records generated in the research process performed in and/or by the University as well as members of the University and external participating personnel who produce, store and use such records.

**Article 3 (Definition)** The terms used herein shall have the following meanings:

1. “Research records” refer to data that a researcher(s) produces in a paper or electronic format with regards to the entire process of his or her research—starting from the beginning to the phase of reporting and presentation—and outcomes thereof.
2. “Research commissioning entity” refers to an organization which commissions a research project to the University, and it includes the government, companies, public research institutes, etc.
3. “Researcher” refers to a person who conducts a research project at the University, and includes a person in charge of a research activity and a person conducting research.
4. “Person in charge of research data storage” refers to a person responsible for storing important materials related to certain research at a location where the research is conducted, such as a research institute of the University.
5. “Research security accident” refers to an accident involving unauthorized viewing, leakage, damage, loss or alteration of research products or results.

**Article 4 (Security Committee)** ① Security Committee (hereinafter referred to as the Committee) shall review matters related to effective implementation and management of research security, and shall act as the Research Security Council as stipulated in the Common Guidelines on Security Management for National Research and Development Projects.

② The committee shall deliberate on each of the following:

1. Establishment and amendment of the Detailed Rules on Research Security Management
2. Security accidents related to research and rewards and punishment of violators
3. Disclosure and provision of research records to the outside
4. Appropriateness of security classification of research records
5. Other matters deemed necessary by the Chairperson

③ If deemed necessary for deliberation by the Chairperson, a relevant person(s) may be called upon to state his or her opinion and provide evidence.

④ The Committee may include a sub-committee for its effective operation. The sub-committee shall perform matters delegated by the Committee.

**Article 5 (Roles and Responsibilities)** ① Roles and responsibilities of the person in charge of information protection at a research conducting department shall be as follows:

1. Take security measures concerning persons participating in a research to prevent the records of such research from being leaked or disclosed to unauthorized persons
  2. Take security measures on information materials related to the research performance, research facilities, etc.
  3. Take security measures when research contents and outcomes are opened to the public
- ② All research institutes and researchers must do their best in maintaining security related to research

records during research activities as well as after the completion of research activities or research agreement. The University's regulations and relevant statutes shall apply in case of a violation.

**Article 6 (Classification)** ① Security levels for research projects shall be classified as follows:

1. Security-required: Projects that require a certain level of security measures given the potential loss in technical or tangible values that may be incurred if the outcomes are leaked to the outside
2. General: Projects not designated as Security-required

② According to the security classification as prescribed in paragraph 1 above, all research projects of the University shall be classified into Not Granted (Level A), Temporary Restricted (Level B) or Granted (Level C) with regard to the external presentation and/or publication of research records.

③ The criteria for designating a research project as Security-required are as follows:

1. A research and development project for which technology leak is a substantial issue since it is linked with securing intellectual properties, such as patents, etc.
2. A research and development project directly related to developing world-class technology products.
3. A research and development project involving a technology for which localization is in process because technology transfer from overseas has been denied or which is deemed to require protection as a promising core technology
4. A research and development project involving a technology that can be exclusively used for national defense and security purposes
5. Other research and development projects determined by the Committee as important

④ Among research projects categorized as Security-required, the Committee may classify important research projects that need separate security measures as Internal Use Only.

**Article 7 (Classification Process)** ① When submitting a research and development project application, a researcher in charge must classify the security level in accordance with Article 6 and submit the Security Level Classification Table (attached Form 1) to the Committee in advance.

② The Committee shall review the appropriateness of the security level classification for the concerned project. After the review, the Chairperson of the Committee must mark the security level on the research and development plan, notify it to the researcher in charge, and submit it to the head of the research commissioning entity concerned.

③ When the researcher in charge disagrees with the security level stated in paragraph 2, a re-evaluation may be requested to the Committee with a statement specifying a reason for such request.

**Article 8 (Researcher-related Security)** ① A person conducting a research project (hereinafter referred to as the researcher) must submit the Research Security Pledge (attached Form 2) if he or she conducts a research project classified as Security-required.

② When a given research project involves a change in researcher or an addition of a researcher, the new researcher must submit the Research Security Pledge as specified in paragraph 1 above.

③ In principle, participation of a foreign researcher or the commissioning of matters related to a research to a foreign organization shall be restricted in the case of conducting an important national policy research project. If this is deemed inevitable for the unobstructed progress of research, such matters must be brought before the Committee for a preliminary review process.

④ The process prescribed in paragraph 3 may be not be performed if an approval is obtained by a higher ranking organization in charge of the research project or has already been obtained in the selection and evaluation phase of research commissioning.

⑤ In the case of conducting important national policy projects, the principal researcher in charge shall, as a rule, exclude any advice from foreigners and restrict unsolicited provision of materials with regards to research classified as Internal Use Only. If this is deemed inevitable for the unobstructed progress of research, such matters must be brought before the Committee for a preliminary review process.

**Article 9 (Security for Research Materials)** ① Researcher shall safe keep all data related to a research project classified as Internal Use Only in a storage location with a double combination lock installed, and designate a person in charge of research data storage to manage such data.

② In the case of research projects classified as Internal Use Only, researchers must devise physical security measures for the research laboratories so that access by unauthorized persons are prohibited for the duration of such research.

**Article 10 (Research Record Keeping)** ① Records generated in the process of the research shall be written according to the following principles:

1. Research-related information needs to be appropriately presented
2. Should be usable as evidence related to the research
3. Objectively and accurately state the research process and outcomes in detail so that a third party can understand it
4. Record only the truth without any arbitrary falsification or modification to the facts that occurred during the research process.

② Research records written in paper (hereinafter referred to as the written research records) shall be written as follows to maintain integrity of the records stipulated in paragraph 1:

1. A frame delimiting an area in which writing space is available shall be marked on each page of a written research record. Any research records, such as original texts, modified records, additional records, shall only be written inside the frame.
2. When a record finishes without filling up the entire page, a statement must be made that the below is a blank space or include diagrams, seals, etc. so that there is no empty space: This excludes any possibility of information to be added to the written research records in the future, thereby securing integrity thereof.
3. All pages of the written research records must be marked detectably to prevent a particular page(s) from being added, omitted or replaced.
4. A separate attachment space shall be made available at the back of the research records and data that cannot be directly written in the written research records, such as photographs, outputs printed from a printing device, data included in other research records and data deducted from the outcomes of other experiments, shall be chronologically affixed.
5. A hand written signature and date shall be written on top of the concerned attachment and the top of the attachment at the back of the research records for comparison purposes to prevent the data stated in subparagraph 4 above from being replaced with other data in the future.

**Article 11 (Security for Public Disclosure of Research Records)** ① As for research projects classified as Security-required and Internal Use Only and, thus, designated as Not Granted (Level A) or Temporary Restriction (Level B) with regards to external presentation and/or publication, a researcher who plans to makes an external presentation of or publish his/her research project must submit a Security Measures Plan including a implementation plan for the participants' security pledge, and obtain the Committee's approval.

② Various confidential materials provided to the participants must be retrieved upon the end of research result disclosure, and all records on the disclosure must be kept.

**Article 12 (Reporting Research Security Accidents)** ① Researchers must report to the Committee through the head of the research conducting department without delay when a research security accident occurs, specifying the time, date, place and description of the accident, personal information of the person(s) concerned, etc.

② The researcher must notify the information protection department of the results of the research security accident reviewed by the Committee.

③ The report form used for research security accidents shall be stipulated separately.

**Article 13 (Compliance with Research Commissioning Entity's Security Regulations)** ① Research conducting department shall refer to security regulations and security compliance matters provided by a research commissioning entity and supervise and manage researchers' compliance.

② Researchers must abide by security regulations requested by a government organization(s) when conducting a national policy research project. When commissioned by a company, they must conform to the company's security regulations.

**Article 14 (Research Security Audit)** ① The Committee may request a security audit to a research conducting department with regards to whether researcher(s) and a commissioned research institute(s) have duly performed their duties and responsibilities concerning security training implementation.

② If the security audit results show that there exists any matter deemed in violation of regulations, illegal or improper, appropriate sanctions may be enforced to the researcher concerned in accordance with relevant statutes.

**Article 15 (Supplementary Provisions)** All other matters not stipulated in the regulations herein shall be governed by Common Guidelines on Security Management for National Research and Development Projects of the Ministry of Education.

### **Addenda**

1. The Detailed Rules herein shall be established and take effect on December 1, 2008.
2. Matters implemented prior to the effective date of the Detailed Rules herein shall be deemed to have been implemented by these Detailed Rules.

(Attached Form 1) Security Level Classification Table

### Security Level Classification Table

Level	Security Level Criteria	Evaluation Results		
		Yes	No	N/A
1	A research and development project where technology leak is a substantial issue in regards with securing intellectual properties such as patents			
2	A research and development project directly concerning developing world-class technology products			
3	A research and development project involving a technology of which localization is in process because technology transfer from overseas has been rejected or technology deemed to need protection as a promising core technology			
4	A research and development project involving a technology that can be exclusively used for national defense/security purposes			
5	Research projects classified as Level I, II, III Confidential or Internal Use Only according to the Security Arrangement under the National Intelligence Service Korea Act and projects classified as Military Level I, II, III Confidential or Internal Use Only according to the Enforcement Regulations of the Military Security Services according to the Military Secret Protection Act			
6	A technology research project designated, notified or announced by the head of the competent central administrative agency to improve the competitiveness of an industry in its charge, etc., as prescribed by the relevant statutes			

A project is classified as confidential if “yes” applies to any one of the security-level criteria listed above.			
Security Level	Whether External Presentation and/or Publication is Granted	Note	
Security-required	■ Not Granted (Level A)		
	■ Temporary Restriction (Level B)		
General	■ Granted (Level C)		
Supporting Organization	Project Name	Primary Person in Charge	Research Organization

I, the principal researcher in charge of the research and development project, hereby confirm that I have faithfully reviewed all of the above and truthfully filled in necessary information in the present table.

Date:

Principal Researcher in Charge: (Department)

(Name)

(Seal)

**To the Chairperson of the Security Committee of  
Pohang University of Science and Technology**

(Attached Form 2) Research Security Pledge

## Research Security Pledge

Name:

Department:

I hereby pledge to have full knowledge of and faithfully comply with the following, and shall accept all responsibilities in case I violate the following in accordance with relevant statutes and regulations of the University:

1. I shall not use any confidential research information that may be learned during the process of conducting this research project for myself or a third party without the University's approval during the project and even after its completion.
2. I shall bear the confidentiality obligations for undisclosed parts of the present research project as stated above even when the outcomes of the project are legitimately disclosed.
3. I shall immediately return to the person in charge of research data storage, relevant materials including confidential research materials in my possession upon the completion of the present research project or when the project can no longer be conducted, and shall bear the confidentiality obligations as stated above.
4. I shall comply with relevant legislations and regulations of the University for matters related to conducting the present research project.

Date:

Name:

(Seal)

**To the Chairperson of the Security Committee  
Pohang University of Science and Technology**