

論文作成ガイドライン

Guidelines
for
Writing Research Papers
and Theses



東京大学大学院経済学研究科

Graduate School of Economics,
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はじめに

近年においては、調査研究をおこなう上での倫理性が強く求められるようになってきている。経済学研究科においても、倫理性を強く意識した研究態度が求められている。本ガイドラインは、論文作成に当たり、最低限気をつけなければならないことを記載し、論文作成の指針としてもらうために作成したものである。

本ガイドラインは以下の2部からなる。第1部は、論文作成に当たり、経済学研究科全体にわたる注意点を述べたものである。第2部は、経済学研究科の研究も幅広いアプローチがとられているので、各分野に特有の問題についての注意点を述べたものである。

本ガイドラインに従って、実りある研究論文を作成されることを期待する。

2011年4月

東京大学大学院経済学研究科

第1部 全般的な注意点

剽窃（Plagiarism）を避ける

学術論文を発表する場合には、先行研究をきちんと参照し、それと明確にことなる自分自身のオリジナリティを示すことが必要である。オリジナリティがどれほどのものかによって、学術論文の評価が定まる。そのため、**論文のどの部分がオリジナルな貢献であり、どの部分が先行研究の紹介であるかを、はっきり分けるように論文を書くことが重要である。**

他の研究者がすでにおこなっていることを自分のものとして発表することは、剽窃に当たる可能性があり、処罰の対象となることもある。意図的におこなうことはもちろん問題外であるが、意図しないで剽窃として疑われることがないように、細心の注意を払わねばならない。とくに英語で論文を発表する場合は、ネイティブ言語でおこなう場合よりも、より細心の注意が必要である。

剽窃にあたるとされるのは、以下のような場合である。

- (1) 先行業績のある部分を引用のスタイルをとることなく（すなわち出典を明示せず自分の考えと

して)、述べる場合。これは改めて説明するまでもなく、意図的な剽窃とされかねない。

- (2) 先行業績の出典を明示してあっても、引用元の文章に非常に近い表現を、引用符を付けずに本文中に載せる場合。引用符に入っていない地の文章は論文の作者のオリジナルな貢献とみなされるので、単に単語を多少入れ替えて表現を若干入れ替えただけの他人の文章を、引用符を付けずに述べることは、(たとえ出典を明記して先行業績の紹介であると断っている) 剽窃に当たると判断されることがある。
- (3) 先行業績の図、表、データ、統計分析、定理・命題などを、出所を明示せずに引用する場合。

(2) のような剽窃の疑いを避けるためには、以下のいずれかの方法をとるのがよい。

①出典を明記し引用符を使って、先行業績の表現の引用と分かる形で引用する。とくに重要な用語が先行業績によって独自に提起された概念である場合は、引用符に入れることが奨励される。重要な用語を引用符にいれないと、その用語を自らが独自に生み出したと主張しているという誤解を与えかねない。ただし重要な用語でも、学会の共通の財産となっているようなものは、いちいち引用符に入れる必要はない。

②先行業績の紹介を引用符を付けずに行う場合は、

出典を明記したうえで、自分なりにパラフレーズした完全に別の文章になるように、表現を根本的に変える。

重要なことは、先行業績のメリットを正当に評価し、それを学会への貢献として敬意を払うという姿勢である。これを欠いている場合は、先行業績を引用してあっても、不適切な引用であるとして、トラブルになりかねない。またこうした意図しないトラブルを避けるために、関連文献のリストを整理しておくことが求められる。

この点につき、簡潔に述べてあるものとして、
Drew University Theological School, “Academic Integrity.”（そのうち特に How to Avoid Unintentional Plagiarism）
(<http://catalog.drew.edu/content.php?catoid=28&navoid=1317>)が参考になる。

第2部 各分野に特有の注意点

A. 統計・計量分析を使った論文を作成する際の注意点

1. 使ったデータの出所を論文に明記すること。公開データ・購入したデータの場合は出所・購入元を、また自ら収集したデータについては収集方法を明記すること。

2. 個人情報の保護：個人情報が特定できるようなデータを用いた場合、発表論文では、匿名を用いるなど個人情報が特定できない形でデータを表示する必要がある。また、個人情報を含むデータの管理は厳重に行う。

＊1、2に関する論文での具体的な表記法については、*American Economic Review* 等、国際的に評価の高い雑誌に掲載された最近の論文を参考にすると良い。

3. 自らが行った統計的・計量経済学的分析が第三者によって再現可能なことが、確認できるような措置を取る必要がある。学術雑誌によっては、使用したデータおよび統計のプログラムを、論文とともに提出する

ことを義務付けているところもある。そうでない場合においても、要求があればいつでもデータとプログラムを第3者に公開できるようにしておく必要がある。

(ただし、個人情報を含むデータや、第3者への公開が制限されているデータについては、個人情報が特定できない形で公開するか、あるいは公開が制限されていることを第3者に説明できるようにしておく必要がある。)

4. 倫理的配慮等を必要とするデータを収集する場合には、東大のライフサイエンス研究倫理支援室で倫理審査を受ける必要がある。(事項Bで詳細を説明する。)

B. 経済実験を使った論文を作成する際の注意点

経済実験の計画や実施手続きに関しては、いくつかの解説書が出版されているので、そちらを参照されたい(例えば D. Friedman and A. Cassar, *Economics Lab*, Routledge, 2004)。

また、実験を使った論文の書き方については、*Econometrica* 誌のガイドライン
<https://www.econometricsociety.org/publications/econometrica/information-authors#Experimental>
が参考になる。

人間を対象とした実験・調査を行う際には、場合によっては東京大学本部・ライフサイエンス研究倫理支援室・倫理審査専門委員会の審査を受ける必要がある。倫理審査の申請は、全ての場合に必ず行わなければならない義務ではないが、研究者は自らの責任で必要性を適切に判断して、必要なケースにおいては必ず申請を行う必要がある。経済実験の多くは被験者に心理的・身体的・経済的危害を与える恐れがないため、通常のケースでは申請の必要はないものが多いと考えられる。ただし、以下の項目に該当する場合は申請が必要になる。

- ・法令等が倫理審査の対象と定めたケース（臨床研究指針・ヒトゲノム遺伝子解析指針等）
- ・倫理的配慮を必要とするアンケート調査やインタビュー調査
- ・被験者に対して安全上の配慮を必要とする研究
- ・特定の社会的弱者が不利益を被る恐れがある情報やデータを解析し保管する研究
- ・研究への参加にインフォームド・コンセントを行っている研究
- ・学術雑誌等から倫理審査が求められる研究等

判断に迷った場合には、本部・ライフサイエンス研究倫理支援室<lifescience.adm@gs.mail.u-tokyo.ac.jp> に相談すること。

C. インタビュー記録を使った論文を作成する際の注意 点

実際に現場に出て行って、当事者にインタビューをおこなうことも多い。このような場合には、以下の注意が必要である。

- (1) 相手の明確な同意を事前に得ること。
- (2) インタビューの目的をきちんと説明しておくこと。
- (3) インタビューの際に録音する場合は、明確に同意を得ておくこと。
- (4) 発表の形態について、明確に同意を得ておくこと。インタビュー全体を公表できるのか、発言の引用の形態をとれるのかなども合意を得ておく。
- (5) インタビューイーの名前、役職、インタビュー日時、場所を明確にしておくこと。そしてこれらをどこまで論文に明示できるのかも合意を得ておくこと（名前を出せるのか、イニシャルにとどめるのか、勤務先を明示できるのか、など）。インタビューそのものを論文で公表できない場合でも、必要があれば、必要な範囲で証拠として提示できるようにしておく必要がある。
- (6) 論文を発表する場合に、相手の校閲を受ける必要があるのかについても合意しておく。

これらが破られた場合、自分のみならず、後から続

く研究者にも悪影響があること（インタビューを拒絶される）を心得ておく必要がある。

ただしインタビューで語られたことが客観的な事実である保証はなく、その利用については、細心の注意が必要である。

工場などでの見学の記録を用いる場合もほぼ同様であるが、守秘義務の約束をして特別のデータを得たり、特別な観察をおこなったりした場合は、もちろんそれを遵守する。また写真撮影には細心の注意を払うこと（撮影を禁止されているところで撮影しないことはもちろん、危ないと思った場合は、事前に許可をとること）。

これらについては、以下の文献が参考になる。
藤本隆宏ほか『リサーチ・マインド 経営学研究法』有斐閣、2005。
小池和男『聞きとりの作法』東洋経済新報社、2000。
小池和男・洞口治夫編『経営学のフィールド・リサーチ』日本経済新聞社、2006。

D. 歴史的な資料を使った論文を作成する際の注意点

1. 資料館などで公開されている資料を利用する場合は、資料館名、資料名、資料番号などを明記し、後続

の研究者があとから参照できるようにしておく。資料館に寄託資料となっていて、発表の際に、寄託者に草稿を事前にみせて、同意を得ることが条件となっている資料を用いる場合は、その条件を遵守せねばならない。

2. 資料館にあるデータで計量的な処理をおこなう場合は、A. 統計・計量分析を使った論文を作成する際の注意点を参照のこと。

3. 特別に許可を得て、資料の閲覧を個人や企業から許された場合は、どこまで資料を公開できるのか（その企業・個人が所蔵していることを含めて）、個人情報にかかわることをどこまで公開できるのか、などについて、事前に合意をとり、その条件を遵守すること。ただし、どこの誰の資料かも明示できない資料で、明らかにされた事実が、広く受け入れられるかどうかは別の問題である。

これらについては、次の文献が参考になる。

石井寛治・原朗・武田晴人編『日本経済史 6 日本経済史研究入門』東京大学出版会、2010。

Introduction

At the Graduate School of Economics, students are expected to maintain high ethical standards in the conduct of research. The instructions in this booklet provide the minimum standards to be observed when writing research papers and theses.

The Guidelines consist of two parts: Part 1 outlines the general instructions for writing research papers and theses that are generally applicable across all fields in economics; and Part 2 describes the specific instructions in different fields of research, which reflect the diverse approaches taken at the Graduate School of Economics.

We wish you all the best for writing great research papers and theses in accordance with the Guidelines.

April, 2011

Graduate School of Economics, The University of Tokyo

Part 1: General Instructions

Avoiding plagiarism

When you publish an academic paper, you should give proper reference to prior studies, and distinguish your study clearly from them by demonstrating your originality. An academic paper is evaluated on the basis of its originality. For that reason, it is essential that your research paper or thesis **makes a clear distinction between your original contributions and the citation of prior studies.**

Presenting ideas and findings which have been previously published by other researchers as if they are your own may constitute plagiarism, and, consequently, may be subject to punishment. It is needless to emphasize that you should avoid intentional plagiarism by all means. You must also prepare your research paper or thesis carefully in order to avoid inviting suspicion of unintentional plagiarism. Papers written in the English language in particular require closer attention than papers written in your native language.

The following conduct may be considered plagiarism:

- (1) Description of any part of a prior work which does not use a form of quotation (that is, presenting it as your own without identifying the source). There is no need to explain that this may be considered intentional plagiarism.
- (2) The source of a prior work is identified but the body text contains a similar expression without enclosing it in quotation marks. A sentence which is not enclosed in quotation marks will be deemed to be the author's original contribution. Using text written by another

author by making minor changes of words or expressions and without enclosing it in quotation marks may be considered plagiarism (even if you have clearly indicated that you are introducing a prior work and identified the source in the references).

- (3) Citation of figures, tables, data, statistical analysis, theorems and propositions of prior works without identifying their source.

In order to avoid suspicion of plagiarism described in Paragraph (2) above, the following are recommended:

- (i) Quote an expression from a prior work by enclosing it in quotation marks and identifying its source. If a significant term represents a unique concept proposed by a prior work, enclosing the term in quotation marks is recommended. Failure to enclose such a significant term in quotation marks may cause the misunderstanding that you are asserting the term to represent your own idea. If, however, the significant term has become the common property of an academic society, it is not necessary to enclose it in quotation marks every time it appears.
- (ii) If you wish to introduce a prior work without enclosing it in quotation marks, you must identify the source clearly, and significantly alter its expressions so as to make the sentence completely paraphrased and different from the original.

What is important is to demonstrate clearly that you appreciate the merits of prior work by highlighting your marginal contributions relative to the existing literature. Failure to do so may cause your quotation of prior work to be regarded as inappropriate. In order to avoid encountering these

unintentional problems, you should maintain a well-organized list of your reference materials.

You may refer to “Academic Integrity” (in particular the section under the heading of “How to Avoid Unintentional Plagiarism”) published by Drew University Theological School (<http://catalog.drew.edu/content.php?catoid=28&navoid=1317>) which provides concise description in this regard.

Part 2: Specific Instructions

A. Statistical or econometric analysis

1. You must clearly identify the source of data used in your research paper or thesis. If you used data which was in the public domain or purchased by you, identify the source or the vendor. If you collected the data yourself, describe clearly how the data was collected.
2. Protection of privacy: If any of the data used in your research paper or thesis contains personal information which may identify an individual, you must present it in a form which will protect the identity of the individual, such as the use of a pseudonym, when you publish the research paper or thesis. Any data containing personal information must be kept under strict control.

* For how to fulfill the requirements in Paragraphs 1 and 2 above, refer to latest papers published in internationally acclaimed journals, such as *American Economic Review*.
3. You must take all necessary steps to ensure that your statistical or econometric analysis can be replicated and confirmed by a third party. Some academic journals may require authors to furnish the data and the statistical program used at the time of the submission of a paper for publication. Even if you are not required to furnish such data and program, you must readily maintain them for disclosure to a third party upon request. (It should be noted that any data containing personal information, or the disclosure of which to a third party is restricted, must either be disclosed in a form which prevents the identification of

the individual, or with a notice to the third party of the restriction on disclosure.)

4. When you collect data which require ethical considerations, you must apply for an ethics review by the Office for Life Science Research Ethics and Safety of the University of Tokyo. (For details, see Section B.)

B. Economic experiments

For guidance on planning and procedures for an economic experiment, you can refer to several guide books in publication (e.g. D. Friedman and A. Cassar, *Econometrics Lab*, Routledge, 2004).

For guidance on writing a research paper or thesis using experiments, you can refer to the guidelines provided by *Econometrica*

(<https://www.econometricsociety.org/publications/econometrica/information-authors#Experimental>)

When you conduct an experiment or collect data using human subjects, you may be required to apply for an ethics review by the Research Ethics Committee of the Office for Life Science Research Ethics and Safety of the University of Tokyo. Although a request for an ethics review is not necessarily required in all cases, researchers are expected to make an appropriate decision on their own account and request a review without fail if they have determined that one is required. Submission of such a request will not be required under normal circumstances in economic experiments that are unlikely to cause psychological, physical or economic harm to human subjects. If, however, any of the following is applicable, you must submit a request for an ethics review:

author by making minor changes of words or expressions and without enclosing it in quotation marks may be considered plagiarism (even if you have clearly indicated that you are introducing a prior work and identified the source in the references).

- (3) Citation of figures, tables, data, statistical analysis, theorems and propositions of prior works without identifying their source.

In order to avoid suspicion of plagiarism described in Paragraph (2) above, the following are recommended:

- (i) Quote an expression from a prior work by enclosing it in quotation marks and identifying its source. If a significant term represents a unique concept proposed by a prior work, enclosing the term in quotation marks is recommended. Failure to enclose such a significant term in quotation marks may cause the misunderstanding that you are asserting the term to represent your own idea. If, however, the significant term has become the common property of an academic society, it is not necessary to enclose it in quotation marks every time it appears.
- (ii) If you wish to introduce a prior work without enclosing it in quotation marks, you must identify the source clearly, and significantly alter its expressions so as to make the sentence completely paraphrased and different from the original.

What is important is to demonstrate clearly that you appreciate the merits of prior work by highlighting your marginal contributions relative to the existing literature. Failure to do so may cause your quotation of prior work to be regarded as inappropriate. In order to avoid encountering these

unintentional problems, you should maintain a well-organized list of your reference materials.

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Part 2: Specific Instructions

A. Statistical or econometric analysis

1. You must clearly identify the source of data used in your research paper or thesis. If you used data which was in the public domain or purchased by you, identify the source or the vendor. If you collected the data yourself, describe clearly how the data was collected.
2. Protection of privacy: If any of the data used in your research paper or thesis contains personal information which may identify an individual, you must present it in a form which will protect the identity of the individual, such as the use of a pseudonym, when you publish the research paper or thesis. Any data containing personal information must be kept under strict control.

* For how to fulfill the requirements in Paragraphs 1 and 2 above, refer to latest papers published in internationally acclaimed journals, such as *American Economic Review*.
3. You must take all necessary steps to ensure that your statistical or econometric analysis can be replicated and confirmed by a third party. Some academic journals may require authors to furnish the data and the statistical program used at the time of the submission of a paper for publication. Even if you are not required to furnish such data and program, you must readily maintain them for disclosure to a third party upon request. (It should be noted that any data containing personal information, or the disclosure of which to a third party is restricted, must either be disclosed in a form which prevents the identification of

the individual, or with a notice to the third party of the restriction on disclosure.)

4. When you collect data which require ethical considerations, you must apply for an ethics review by the Office for Life Science Research Ethics and Safety of the University of Tokyo. (For details, see Section B.)

B. Economic experiments

For guidance on planning and procedures for an economic experiment, you can refer to several guide books in publication (e.g. D. Friedman and A. Cassar, *Econometrics Lab*, Routledge, 2004).

For guidance on writing a research paper or thesis using experiments, you can refer to the guidelines provided by *Econometrica*

(<https://www.econometricsociety.org/publications/econometrica/information-authors#Experimental>)

When you conduct an experiment or collect data using human subjects, you may be required to apply for an ethics review by the Research Ethics Committee of the Office for Life Science Research Ethics and Safety of the University of Tokyo. Although a request for an ethics review is not necessarily required in all cases, researchers are expected to make an appropriate decision on their own account and request a review without fail if they have determined that one is required. Submission of such a request will not be required under normal circumstances in economic experiments that are unlikely to cause psychological, physical or economic harm to human subjects. If, however, any of the following is applicable, you must submit a request for an ethics review:

- An ethics review and approval by Research Ethics Committee are required by law or guidelines (e.g. under the Ethical Guidelines for Clinical Studies, Ethical Guidelines for Human Genome/Gene Analysis Research, etc.);
- A questionnaire or interview survey requires ethical considerations;
- A study which requires safety considerations for study subjects;
- A study which analyzes and stores information or data which may be detrimental to certain socially disadvantaged populations;
- A study which requires the informed consent of its participants; or
- A study for which an ethics review by Research Ethics Committee is required by academic journals.

When there is any doubt in respect of judgment, you should consult the Office for Life Science Research Ethics and Safety of the university headquarters(lifescience.adm@gs.mail.u-tokyo.ac.jp).

C. Interview records

When you carry out interviews of the parties relevant to your research, you must take note of the following:

- (1) Obtain the unequivocal consent of the interviewee in advance;
- (2) Explain the purpose of the interview clearly to the interviewee;
- (3) If the interview needs to be recorded, obtain unequivocal consent of the interviewee;
- (4) Obtain unequivocal consent in respect of the format in which the interview will be published: whether the entire

content of the interview may be published, a part of it be quoted, or only be used as evidence for your assertion (not be quoted);

- (5) Maintain accurate information of the interviewee, his or her position, and date, time and place of the interview. Obtain an agreement as to the extent of the inclusion of the interview results in your research paper or thesis (e.g. whether the name or initials should be used, or his or her employer can be identified, etc.) Even when the entire content of the interview cannot be included in your research paper or thesis, you must keep it ready for presentation as evidence to the extent which does not breach the agreement with the interviewee, if required by a third party; and
- (6) Obtain an agreement as to whether the interviewee can review your research paper or thesis prior to publishing.

You should keep in mind that a breach of the above conditions will cause problems for not only yourself but other researchers who wish to conduct subsequent research (e.g. refusal to grant an interview).

It should be noted that there is no assurance that the information given in an interview necessarily be the objective truth. Accordingly, the use of the information requires your due attention.

The use of records of a field study of a factory requires the same consideration. If you obtain special data, or were allowed a special observation, upon a promise of confidentiality, you must comply. Taking photographs requires careful attention (that is, you must refrain from taking photographs where it is prohibited, or obtain prior permission whenever there is a concern).

You are advised to refer to the following literature for guidance:

- Takahiro Fujimoto, et al. *Research Mind: Study of Business Management*, Yuhikaku, 2005 (in Japanese).
- Kazuo Koike, *Etiquettes for Conducting Hearing Surveys*, Toyo Keizai Inc., 2000 (in Japanese).
- Kazuo Koike and Haruo Horaguchi, eds., *Field Research of Business Management*, Nikkei Inc., 2006 (in Japanese).
- Robert K. Yin, *Case Study Research: Design and Methods*, Third Edition, Sage Publishing, 2003.

D. Historical materials

1. When you use historical materials which are publicly available in archives, you must keep records of the names of the archives and the material, as well as their reference number so that researchers conducting subsequent research can refer to them. If the use of the material, which is deposited in archives, is permitted on the condition that you would submit your draft research paper or thesis to the depositor for a review in advance and receive his or her approval, you must comply with the condition.
2. When you will do statistical or econometric analysis with the data you obtained from archives, refer to the instructions in Section A. "Statistical and econometric analysis" above.
3. If you have received a special permission from an individual or corporation allowing you to examine materials, you must obtain prior agreement as to the extent of disclosure of the materials (including the name of the owner of the material) or disclosure of personal

information in your research paper or thesis, and comply with the terms of the agreement. Whether any facts revealed by materials for which ownership cannot be revealed will be generally acceptable, however, is another matter.

The following publication provides useful guidance in respect of this issue:

Kanji Ishii, Akira Hara and Haruto Takeda, eds., *History of Japanese Economy: 6. Introduction to Study of the History of Japanese Economy*, The University of Tokyo Press, 2010 (in Japanese).

- An ethics review and approval by Research Ethics Committee are required by law or guidelines (e.g. under the Ethical Guidelines for Clinical Studies, Ethical Guidelines for Human Genome/Gene Analysis Research, etc.);
- A questionnaire or interview survey requires ethical considerations;
- A study which requires safety considerations for study subjects;
- A study which analyzes and stores information or data which may be detrimental to certain socially disadvantaged populations;
- A study which requires the informed consent of its participants; or
- A study for which an ethics review by Research Ethics Committee is required by academic journals.

When there is any doubt in respect of judgment, you should consult the Office for Life Science Research Ethics and Safety of the university headquarters(lifescience.adm@gs.mail.u-tokyo.ac.jp).

C. Interview records

When you carry out interviews of the parties relevant to your research, you must take note of the following:

- (1) Obtain the unequivocal consent of the interviewee in advance;
- (2) Explain the purpose of the interview clearly to the interviewee;
- (3) If the interview needs to be recorded, obtain unequivocal consent of the interviewee;
- (4) Obtain unequivocal consent in respect of the format in which the interview will be published: whether the entire

content of the interview may be published, a part of it be quoted, or only be used as evidence for your assertion (not be quoted);

- (5) Maintain accurate information of the interviewee, his or her position, and date, time and place of the interview. Obtain an agreement as to the extent of the inclusion of the interview results in your research paper or thesis (e.g. whether the name or initials should be used, or his or her employer can be identified, etc.) Even when the entire content of the interview cannot be included in your research paper or thesis, you must keep it ready for presentation as evidence to the extent which does not breach the agreement with the interviewee, if required by a third party; and
- (6) Obtain an agreement as to whether the interviewee can review your research paper or thesis prior to publishing.

You should keep in mind that a breach of the above conditions will cause problems for not only yourself but other researchers who wish to conduct subsequent research (e.g. refusal to grant an interview).

It should be noted that there is no assurance that the information given in an interview necessarily be the objective truth. Accordingly, the use of the information requires your due attention.

The use of records of a field study of a factory requires the same consideration. If you obtain special data, or were allowed a special observation, upon a promise of confidentiality, you must comply. Taking photographs requires careful attention (that is, you must refrain from taking photographs where it is prohibited, or obtain prior permission whenever there is a concern).

You are advised to refer to the following literature for guidance:

- Takahiro Fujimoto, et al. *Research Mind: Study of Business Management*, Yuhikaku, 2005 (in Japanese).
- Kazuo Koike, *Etiquettes for Conducting Hearing Surveys*, Toyo Keizai Inc., 2000 (in Japanese).
- Kazuo Koike and Haruo Horaguchi, eds., *Field Research of Business Management*, Nikkei Inc., 2006 (in Japanese).
- Robert K. Yin, *Case Study Research: Design and Methods*, Third Edition, Sage Publishing, 2003.

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